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ABSTRACT

This document contains conference papers, other speeches, and supplementary material from the first International Conference on Total Quality Management (TQM) and Academic Libraries, held in 1994. The conference was comprised of four sessions, and the introductory remarks of each are included, along with transcriptions of each session's interview/discussion forums: (1) Opening Session: "The Geometry of Quality in Higher Education" (David T. Seymour); (2) Plenary Session 1: "Is the Customer Always Right? Obtaining the Voice of the Customer" (Sue Rohan); (3) Plenary Session 2: "(Customer + Quality + Peformance)/Measurement=Benchmarking" (William Grundstrom); and (4) Closing Session: "TQM and Libraries: A Formula for Change" (Thomas Shaughnessy). Papers from the sessions include: "Gathering Client Data: What Works?" (Christine Avery & Diane Zabel); "A Model for Reorganization: Applying Quality Principles and Techniques" (Lynne Branche Brown & Nancy Markle Stanley); "TQM: A Flavor-of-the-Month Buzzword or Step One to Designing Processes that Deliver Continuous Value to the Customer?" (John R. Secor); "TQM--Will it Work in Your Library?" (Karyle Butcher); "Benchmarking: A Process for Improvement" (Thomas M. Peischl); "From Quick Start Teams to Home Teams: The Duke TQM Experience" (John Lubans & Heather Gordon); "Performance Appraisal vs. Quality Management; Getting Past the Paradox" (James W. Marcum); and "Performance Appraisal in an Academic Library" (Verna E. George). The appendix contains related visual aids, charts, outlines, and helpful references from 12 other presentations. An annotated bibliography by Anaclare F. Evans recommends 36 books and journal articles on total quality management. (BEW)

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in Academic Libraries:
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Proceedings of the
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TOTAL QUALITY MANAGEMENT IN ACADEMIC LIBRARIES: INITIAL IMPLEMENTATION EFFORTS

PROCEEDINGS FROM THE 1ST INTERNATIONAL CONFERENCE ON TQM AND ACADEMIC LIBRARIES

Conference Directors:
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TOTAL QUALITY MANAGEMENT IN ACADEMIC LIBRARIES: INITIAL IMPLEMENTATION EFFORTS

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TABLE OF CONTENTS

OPENING SESSION: TQM AND HIGHER EDUCATION

INTRODUCTION
Susan Jurow, *ARL Office of Management Services*
Barton Lessin, *Wayne State University*

THE GEOMETRY OF QUALITY IN HIGHER EDUCATION
Daniel T. Seymour, *QSystems* 1

GATHERING CLIENT DATA: WHAT WORKS?
Christine Avery and Diane Zabel, *Pennsylvania State University* 19

QUESTION AND ANSWER SESSION
Susan Jurow, *ARL Office of Management Services* 29

PLENARY SESSION 1: SERVICE QUALITY

INTRODUCTION
John Lubans, *Duke University*

IS THE CUSTOMER ALWAYS RIGHT?
OBTAINING THE VOICE OF THE CUSTOMER
Sue Rohan, *University of Wisconsin System* 55

A MODEL FOR REORGANIZATION
APPLYING QUALITY PRINCIPLES AND TECHNIQUES
Lynne Branche Brown and Nancy Markle Stanley, *Pennsylvania State University* 71

TQM: A FLAVOR-OF-THE-MONTH BUZZWORD OR
STEP ONE TO DESIGNING PROCESSES THAT DELIVER CONTINUOUS
VALUE TO THE CUSTOMER?
John R. Secor, *Yankee Book Peddler, Inc.* 85

TQM — WILL IT WORK IN YOUR LIBRARY?
Karyle Butcher, *Oregon State University Libraries* 95

PLENARY SESSION 2: PERFORMANCE MEASURES

INTRODUCTION
Barton Lessin, *Wayne State University*

(CUSTOMER + QUALITY + PERFORMANCE)/MEASUREMENT = BENCHMARKING
William Grundstrom, *Quality, Benchmarking, Teams, Partnerships* 101

BENCHMARKING: A PROCESS FOR IMPROVEMENT
Thomas M. Peischl, *Mankato State University* 119

FROM QUICK START TEAMS TO HOME TEAMS: THE DUKE TQM EXPERIENCE
John Lubans and Heather Gordon, *Duke University* 123

PERFORMANCE APPRAISAL VS. QUALITY MANAGEMENT: GETTING PAST THE PARADOX
James W. Marcum, *Centenary College* 131

PERFORMANCE APPRAISAL IN AN ACADEMIC LIBRARY: A CASE STUDY
Verna E. George, *University of the West Indies* 141

CLOSING SESSION

INTRODUCTION
C. Brigid Welch, *ARL Office of Management Services*

TQM AND LIBRARIES: A FORMULA FOR CHANGE
Thomas Shaughnessy, *University of Minnesota* 157

APPENDIX

THE COST OF QUALITY — ITS APPLICATION TO LIBRARIES
Brinley Franklin, *University of Connecticut* 175

ROADMAP FOR TEAM SELF-FACILITATION
Janice H. Burrows, *University of California-Berkeley* 193

EMPLOYING TQM METHODOLOGIES IN ILL AND DOCUMENT DELIVERY: CUSTOMER INPUT IN EVALUATION OF A CAMPUS DELIVERY SERVICE
Susan Barnard, *Kent State University* 199

SHIFTING THE PARADIGM WITH QUALITY: THE INDIANA UNIVERSITY LIBRARIES EXPERIENCE WITH REORGANIZATION AND PLANNING
Patricia A. Steele, *Indiana University* 209

THE DIRECTOR'S LEADERSHIP ROLE IN KEEPING TQM ALIVE AND WELL
Donald E. Riggs, *University of Michigan, Ann Arbor* 229

TQM AND RE-ENGINEERING: TWO PROCESSES TOWARD A COMMON GOAL
Sharon Hogan, *University of Illinois at Chicago* 235

CUSTOMER SATISFACTION ANALYSIS: THE GATEWAY TO TOTAL QUALITY MANAGEMENT
J.M. Toney, Jr., *Tradecraft Ltd.* 237

ACCESS II QUALITY: INITIATION AND IMPLEMENTATION OF A TQM PROGRAM AT THE ACCESS SERVICES DEPARTMENT
Sohair W. Elbaz, *Illinois Institute of Technology* 245

LIBRARIES AS CUSTOMERS: ACHIEVING CONTINUOUS IMPROVEMENT THROUGH STRATEGIC PARTNERSHIPS
Mary Lou Goodyear, *Texas A&M University*
Adrian Alexander, *The Faxon Company* 259

STRATEGIC PLANNING IN THE TEAM-BASED ENVIRONMENT
Carrie Russell, Nancy Hill, and Douglas Edward Jones, *University of Arizona* 267

WHAT TOTAL QUALITY MANAGEMENT IS DOING FOR OUR LIBRARY
Jean Thompson, Donna Fitch, Elizabeth Wells, and Olivia Wood, *Samford University* 301

THE UNDERGRADUATE TEAM AT THE UNIVERSITY OF ARIZONA: ORGANIZED TO SERVE THE UNDERGRADUATE CLUSTER
Carrie Russell and Janet Fore, *University of Arizona* 327

TOTAL QUALITY MANAGEMENT IN HIGHER EDUCATION AND LIBRARIES: A SELECTIVE ANNOTATED BIBLIOGRAPHY
Anaclare F. Evans, *Wayne State University* 329

CONFERENCE PARTICIPANTS 341

OPENING SESSION: TQM AND HIGHER EDUCATION

INTRODUCTION

Susan Jurow, Convener
Director, ARL Office of Management Services

Barton Lessin
Wayne State University

THE GEOMETRY OF QUALITY IN HIGHER EDUCATION

Daniel T. Seymour
QSystems

MS. JUROW: A man has a near-death experience and he finds himself at Heaven's gate. St. Peter asks, "Would you like to look around a little bit?" The man says, "Sure." So St. Peter opens the door and the man looks inside and he sees what he expects to see. There are little, white, fluffy clouds, and people playing harps and it looks okay, but he thinks to himself, "It could get really boring to have to do this for all eternity."

He comes back out again, and St. Peter says, "We also need to show you Hell, so you know what your choices are." So he points him to a very fancy elevator and the man gets on. He gets down to the bottom, the doors open up and this guy is waiting for him. He doesn't look like anything like the devil, but more like a Don Johnson-looking guy with wraparound glasses. And this fellow says, "Welcome to Hell. Let me show you around." Then he opens the door and it's hot, but it's hot because it's a beach. There's sunshine and people are playing volleyball, surfing, and having a good time. It's hot, but he's thinking to himself, "You know, I'd rather spend my time this way for the rest of eternity."

So he comes back out and all of a sudden, because it's only a near-death experience, he's back wherever he was when he thought he was going to die.

Well, unfortunately, a few years later the man actually does die, and he finds himself once again at Heaven's gate. St. Peter says, "Welcome back. Are you ready to stay this time? Would you like to come in?" And the man says, "After my last experience, I think I would rather spend eternity in Hell." St. Peter smiles sadly and points to the elevator.

The man gets on the elevator, and as he's going down, down, down like he did the last time, he notices that it looks a little different. It's not quite as plush as he remembers. The doors open, but there's nobody waiting. The gate is still there so he opens it and looks inside. There it is, Hell, like we've all imagined it with the fire and brimstone. As he takes a step back, he bumps into the devil who has traded in his Don Johnson look for a more traditional one. The man says, "I don't get it. This isn't what you showed me." And the devil says, "The last time you were a prospect. This time you're a customer."

When Brigid Welch, who coordinated this conference, told me that joke, we knew we had to do a TQM conference just so I could tell it. That's the only reason we're actually having this.

Good afternoon, my name is Susan Jurow and I am the Director of the Association of Research Libraries' Office Management Services, and I want to welcome you all to the First International Conference on TQM in Academic Libraries. I want to officially extend an especially warm welcome to our colleagues from Italy, Switzerland, Great Britain, the West Indies, Canada and Australia, who are making this truly an international conference.

The real reason that we're having this conference, obviously, is because it's our sense that there is enough happening in academic and research libraries around the whole set of issues of TQM and continuous improvement that it really warranted bringing a group of people together so that they would have an opportunity to talk about what's working, what's not working, share their experiences, talk about how we might do better — that whole consortium of issues.

Implementing TQM in an academic environment has been a challenge for those of us who have been trying to do it. First of all, we've had to take what is a theoretical set of ideas and concepts that was designed for a for-profit production type of environment and translate it into a not-for-profit educational environment. It's been a very different kind of experience. And yet, bit by bit, we are beginning to see more and more about TQM, or continuous improvement, in the literature for higher education. We're seeing more books. We're seeing more articles. We're seeing more resources. We're not having to fight the battle quite the way we did before.

Part of it is that as decision-makers and leaders within the higher education community begin to come to grips with the fundamental changes in higher education, they're beginning to realize that the kinds of solutions that we need are long-term solutions, and that's really what TQM, continuous improvement, is all about: long-term solutions.

The other thing about TQM is that we're really building on our strengths here. Libraries have traditionally been service-oriented and those of us in the academic and research community are analytical, if nothing else, and so it's not a very far distance to go to be customer-focused and to be problem-solvers within our organizations.

I would like to take a moment to introduce Barton Lessin, who is the Assistant Dean of Libraries at Wayne State University. They have been our co-sponsors and we very much appreciate the groundwork that they laid for this conference.

So let me give Barton the chance to say a few words.

MR. LESSIN: Good afternoon. It's my pleasure to welcome you to the First International Conference on TQM in the Libraries on behalf of Dean, Peter, and Randy, and the entire staff at the Wayne State University Libraries.

Although my comments are very short this afternoon, I would be remiss in not mentioning the efforts of both Brigid Welch and Susan Jurow in putting this conference together and bringing it to fruition. We were the instigators; they were the implementors, and our sincere appreciation extends to both of them.

During the next several days you are our customers; not prospects mind you, but customers. And we are very interested in your comments, advice, criticism and general thoughts on every aspect of this conference.

I will begin by saying that there is a form in your notebook. We encourage you to use it to make your comments and submit it to us at the end. There are members of the planning committee around and about, and Susan and I are here, Brigid is here, so if you find things that aren't working right, or that you would like us to do differently, or even for us think about for some other time that we might do this, please don't hesitate to tell us.

Our thanks to the plenary session speakers and to those of you who will participate in concurrent presentations. Your willingness to share insights drawn from your experiences is very much appreciated.

Our thanks, also, to each one of you for choosing this particular conference. We realize there is much competition for your time and your money and we're very pleased that you are here today.

It's our hope that we have developed a quality product which will allow all of us to enjoy three very productive days of learning and exchange focused on Total Quality Management. Thank you very much.

MS. JUROW: Thanks Bart. I just want to give a brief overview of the conference and highlight a couple of the special sessions that we have.

We've divided the program with three plenary sessions. We have three keynote speakers and 24 concurrent sessions, so you're going to have to make a lot of choices over the next two days. We hope that will provide you with lots of opportunities to meet and talk with each other. I think that in this particular instance there is as much value to be gained from the kinds of connections you make with each other as there is in the things that you will hear from the speakers and the plenary session of the concurrent speakers in their sessions.

We have a special session planned for this evening, for those of you who can stay awake that long. After dinner we've invited our keynote speakers, Mr. Grundstrom and Mr. Seymour, to give us some of their time in a very informal question-and-answer kind of a situation. It's also an opportunity for some of us to be able to give each other insights into some of the ways that we're handling problem situations and opportunities to talk about things that are working particularly well in our own environments.

We also are going to have a poster session on Friday morning. You may want to come down to the session a little bit earlier so you can take a look at those.

And then we're doing something that we did at another conference we co-sponsored, that is, we're going to end the session by asking Dr. Tom Shaughnessy, who is Dean of Libraries at the University of Minnesota, to finish the conference by summarizing and synthesizing what he's heard over the two days. So we hope that you will be there for that as well.

With that overview, I would like to introduce our first keynote speaker, Dan Seymour. He is the president of QSystems and a visiting scholar at Claremont Graduate School.

He's probably best known to us within this group as the author of *On Q: Causing Quality In Higher Education*, which was published in 1992 and was really the first book, the first major publication, on TQM in an academic environment. I really think that the even-handed approach of that book, laying out the pros and cons of total quality management or continuous improvement, is really what helped us to get past the initial screening of the skeptics out there.

Since then, he's written many other articles and spoken at many other conferences on these topics. His most recent article that I've seen was in the January/February '94 *Change* magazine, which talked about adapting the Baldridge award to a higher education environment. If you haven't seen that, it's really worth reading.

So with that I will turn the podium over to Dan Seymour.

MR. SEYMOUR: Thank you. I'm going to try to work from down here and make this more of a workshop than a speech. And the reason for that is that I've always been told that a great speech has three aspects to it: a strong powerful beginning; a great ending; and most importantly, is that those two are very, very close together. Well, we've got an hour so I'm out of luck already.

What I want to do is try to make this more of a workshop session. So within the confines of this we're going to be going back and forth a little bit. If you would like to say something about your institution or use it as an example, or if you want to speak off the record, please feel free to do that, okay? Otherwise, it's written in stone, and we will send copies back to your institution.

The other thing I wanted to mention was the special session from 8:00 to 10:00 tonight. Now I'd like to put in a little plug for that because, oftentimes, at least in my experience, you come to something like this and you have people talking at you for a long time, and sometimes you have questions and answers for five minutes at the end. If I were you, I would really try to make it to the special session because I think that it's some of the best time. You can sit around with a cup of coffee or a beer and just thrash out some issues, and I think that's really a wonderful opportunity. I applaud everyone who is involved — Brigid and Susan, who put this together and for coming up with that idea. So please, come tonight if you can.

The other thing that I would say is that I'm obviously not a librarian, although I feel a very strong sense of kinship as I've spent a large portion of my adult life in the stacks, it would seem. So as we're going through this, please forgive me if my examples are not necessarily from libraries. Try to think in terms of the connection all the way through.

I want to make sure that those in the back there can hear me. If you can't hear me, I have a lavaliere microphone here, so as soon as you can't hear me, please raise your hand and I'll put it on or turn it up.

In your program we set up five questions. So what I'm going to do here is a five part true-and-false test. If you didn't get a chance to look at those, please take a look right now. If you get all of these correct, Brigid told me there was a trip to Hawaii involved. We're going to work our way through these. They're very simple questions in some regards. Unfortunately the answers aren't quite so easy.

First question: The customer is always right. True? How many say true? Raise your hand. Okay, we've got about five, ten, whatever. You put your hand up real quick. Why?

MR. LUBANS: I think if you look behind the complaint or the request, you get beyond the initial reaction, which may be a negative one, or it may seem to be stupid but there's actually truth there. So I think the customer is, in fact, always right.

MR. SEYMOUR: So he's saying that if you look behind the original complaint, there's usually some truth. In other words, maybe we don't give them as much credit as they deserve and there's an element of truth there.

Anyone else? Brigid, why did you put your hand up?

MS. WELCH: I'm from the old school of librarianship where we're reference librarians and the customer is always right. We believe in it. We try to find a way to make them happy.

MR. SEYMOUR: Anyone who didn't put their hand up chooses false, that's wrong? Tell me why. Why is that wrong?

MR. MCLAIN: You can't always please everyone.

MR. SEYMOUR: Because you can't always please everyone. Competing needs, competing requirements. Anything else?

AUDIENCE: The customer doesn't always know what we can provide.

MR. SEYMOUR: My background is in marketing. We found through marketing research that the customer is very good at some things, they're not as good at others, specifically major innovations. They don't necessarily think that far ahead. Major innovations typically come from within the organization.

This question, that the customer is always right, is perhaps the greatest hurdle to implementation, at least on the academic side, in higher education, according to my research. Language. Language. The first, this notion of customer — Boom! A lot of professors, a lot of professional people really have a difficult time with this.

This is how we operate. This is how all work gets done. All work is processed in an organization: the things you require to perform your tasks, the tasks that you perform to add value to inputs that you've received, and your work that meets your customers' requirements. Some organizations no longer use the word "customer." At Minnesota they say "those we serve." It sounds like a police force.

But don't get hung up in the language here. It really isn't that important. A customer is someone who uses or benefits from your output; they're the next person in line. That's all. Now, Crosby talks about "conformance to requirements." Gerand talks about "fitness for use" in terms of a definition, in terms of customers and quality. If you looked at that conformance to requirements, whose requirements? The customers'. Downstream, fitness for use. Whose use? The customers'. The person who is benefiting by using the product, your service.

What does an organization really look like, in terms of how does it work? It looks like this: it's just a series of linkages all the way through the organization. The work does not get done by the organizational chart. We all hopefully realize that. It's not the boxes — all they choose is the reporting requirements. The work gets done horizontally through a whole series of supplier/customer linkages, processes. The work is horizontal.

High-performing organizations are right here. What do they do better than anybody else? They add value. They add value better than their competitors. How do they do that? They do it two ways. One is that they're a lot better at looking upstream. They're much better at articulating their requirements; that is, when we get in this discussion about customers with people on your campuses, they're typically thinking of themselves as a supplier. Ask them to think of themselves as the customer, and all of a sudden they begin to behave differently.

Ask them the question, "What would happen or how would you operate differently if your 'in' basket was perfect?" That is, the things you require to perform your tasks. Think of this yourself: How would your job be different if everything that came into your office, everything that you needed, was just right? It's sort of a funny question, because I have asked this at various times and perhaps hear somebody in the back of the room say, "Well, I wouldn't have a job," because most of their time and energy is devoted to rework. And, in fact, in many organizations they have entire boxes whose job it is to clean up all their people's messes.

Look at what you can do in terms of adding value, if, in fact, you do a good job of being a good customer, yourself, by articulating your requirements upstream. In higher education, we are terrible at this because of our academic freedom, our history. I don't know what it is, but we just don't talk to each other. They have the right upstream to do something stupid and we, consequently, end up spending the time and energy to either throw it away or do it over again or spend a great deal of time: scrap, rework, complexity, breakdown, delay. It's all waste. Look at all the time and energy you can put into adding value.

The other way is to look downstream. And, of course, if you look downstream, then you are really playing the role of the supplier and asking another difficult question to the next person in line, which is, "What are your requirements?" or more importantly, "Who are my customers and what are their requirements?" I've been at this for a while and when I got away from it and I kept thinking of this customer orientation. At some point it was sort of silly, and yet the more I come back to it, the more I think it's the driving force behind this whole thing.

If you really think hard, most people in most organizations can't even tell you who their customers are; they are not very good at articulating, and they certainly don't know what their input requirements to their customers are. That's where you start.

I'll give you a quick little example of why this is not just some cutesy epigram. I was at an institution not too long ago. This was an institution at which the Director of a physical plant, on his own, put a little questionnaire on all professors' desks that asked "What do you need from the physical plant?" In other words, from the janitors. He got three responses back. This is not rocket science. Number 3, empty my waste basket. Number 2, change the light bulbs. Now, this is from a professor. What was Number 1? Number 1 was —

AUDIENCE: Chalk.

MR. SEYMOUR: Chalk. Chalk before toilet paper, which shows you the dedication of our profession in the classroom. Chalk. This professor found out there was a huge inventory of chalk, because what happened was that the professors realized that oftentimes when they went into the classroom one minute beforehand and looked around there would be any chalk. So they would run down the hall or into the next room and then back up to their office all to get a piece of chalk.

Many professors had a stash of chalk in their office. So the Director got with an engineering professor and they made a chalk dispenser which he showed to me. It looks just like a straw dispenser. Before, the janitors would put boxes in different places. Now they have one simple requirement, make sure that the thing is filled at all times. That's all they have to do. This is fool-proofing the system. What happened to the chalk inventory, the stashes? It went down.

It sounds so simple, but it isn't. Because if you multiply it across the institution, you begin to see the kind of waste involved. Now you begin to see, also, how important the janitor is. Because if he or she isn't doing his job, what happens to the teaching and learning process? It stops.

We've got a couple of problems in higher education when it comes to customers. First is nomenclature, language. There is a book called *Incredibly American,* which if you get a chance to read it, is a wonderful description. It's by AT&T and it's a wonderful description of the cultural difference in quality. And what happens in this country is that the idea that the customer is always right is a cultural imprint and it is the first thing that most professionals think of when they are questioned. The first thing they think is, "Wait a second, I spent ten years in college. You're going to tell me that some punk in the back row who is reading a newspaper, who could care less, is going to tell me how to design my courses? The customer can't be right." That's the cultural imprint. That's where they start from, and you can't blame them because that's the primary role we play as customers.

Secondly, we have a problem in higher education in terms of the internal and external customers. Most of our internal customers, specifically students, behave more like employees than they do like customers. Don't they? They're very well behaved. They don't want to lose their job. If you ask most students, regrettably, about great professors, they will have a handful of professors that they say were really good and a large portion of them are eminently forgettable. Yet the students walk right through the institutions, taking their courses. All they want to do is graduate. That's all.

We don't pay particular attention to our externals either, do we, in terms of end use? We really don't know who uses our product or our services.

AT&T did a recent study where they took the graduating college students that they had hired and they put them all on a database and ran the institutions that they came from, their GPAs, extracurricular activities, and then they put in on-the-job performance measures and how fast they were progressing through the institution. Then they went back and ran those by the institutions that they came from. I was on a panel with a person who was the national recruiter.

Most people don't know it, but AT&T stopped going to half the institutions. They just didn't show up any longer. Why? Because those institutions were poor suppliers. And most of those institutions don't even know that, nor what they're doing wrong.

The final part that's difficult for us is the trade-offs. It was mentioned earlier. We have more customers than Motorola or we've got credit agencies, we've got students, we've got parents, we've got legislators, we've got industry, so we have all of these different kinds of trade-offs that we have to make. And it's more difficult for us than anyone else.

However, still, the answer to the question: false. The customer is not always right, but that does not mean that this is an excuse, which is the way we use it, to not engage in the conversation. This is not a reason to stay within our box, which is how we use it. It's scary. We've got to get out of the box. The whole orientation in terms of customer is important because it allows the institution to generate alignment.

There is a cartoon. The first time I drew something like this I thought of the cartoon. It has three rats, each rat is in front of his or her own separate maze. This is the first cell of the cartoon. The second cell of the cartoon has the three rats huddling together speaking rat speak or whatever they do. Conversing. That's a unique aspect right there, talking back and forth. The third cell has the three rats standing on each other's shoulders — if rats have shoulders — and the top rat indicating where to go. It takes three people or three rats to improve a process to get to the end, the aim. That's what we're missing.

In all situations we need the supplier, we need ourselves, and we need the customer downstream. If we can begin to bring those people together, then we can start talking about alignment and synergy and moving an institution forward. So don't get hung up on the idea that the customer is always right. It's not true, but it's not a big deal, either. The customer is very important but our role as customer and supplier is really neat. Breaking down the barriers, as Deming would say.

Second, more than 90 percent of all problems in an institution are within the administration's power to correct. Ninety percent. How many think that's true? How many false?

We've got sort of an even split here. Who wants to defend the true side? Why is that true?

MS. ELBAZY: I believe it's true because quality is not everybody's job as all of those slogans have been saying. I think quality comes from the administration. I think the top administration does nothing to support the process and the quality improvement process will not work.

MR. SEYMOUR: She's saying that it's management's job to enforce the quality process, and that the individuals can't do it by themselves. Who thinks this is false? Yes?

AUDIENCE: In educational institutions the individuals are hired because of their expertise.

MR. SEYMOUR: Yes.

AUDIENCE: In their particular areas.

MR. SEYMOUR: Yes, in their box.
AUDIENCE: In their box.

MR. SEYMOUR: They're great in the box. Go.

AUDIENCE: I don't see that administration even understands the problems let alone can enforce them.

MR. SEYMOUR: Can I take you on the road with me? Very good.

Well, this one is absolutely, totally, no doubt about it, true. True, true, true, true. Let me tell you why. It's getting back to the very basic systems theory, very basic understanding of variation and statistics. All failures stem from two sources. That's all. They are either systemic or extrasystemic. That's all. They're either in the system —

MR. CROWE: Or both.

MR. SEYMOUR: Have any of you have tried to plow through Deming's *Out of the Crisis*? He's a very difficult writer, as he was a speaker. He has a chapter on variation, which is absolutely excellent, which is exactly on this topic. If you don't like that, try Shelley Gitlow's book, which does a little easier job. I think it's Chapter 5, which is on the same topic but in a little more friendly language.

Let me give you an example: if a car goes into a ditch then only two things caused it. Either extrasystemic; that is, you have a lousy driver or they're drunk. That is assignable to the individual. Or it's part of the system. The brakes failed or the steering went bad.

Now notice what happens. Number 1: If it is part of the system, it doesn't matter who the person is — if you put Mario Andretti in that car it's still going to go into the ditch, right? In other words, if it's systemic, no matter who you put into the system, they are going to be affected by a systemic problem.

Number 2: The responses that you have to those problems are going to be very specific to whether they were extrasystemic or systemic. If Mario Andretti drives the car into the ditch, it does little good to send him to driving school or to Alcoholics Anonymous.

So it's very important for us to be able to identify problems in our organization and be able to assign to them the information that's in that variation of whether it's part of the system or extrasystemic.

Now, the organizational researchers would suggest that 75 or 85 percent of the problems and the opportunities for improvement in an organization are systemic. And Deming goes a little further, because he was a little further out, and he said it's 94 percent. I have no idea where he came up with the 94. Ninety-four percent. I believe this is true, and I think I can get to it this way.

Let me ask you the question: when you think back to when you first started your job at your institution, the first day, how many of you said to yourself, "Gee, what I would really like to do is a mediocre job?" Everybody was trying to do their best, right? And do you think that this group right here is any different than any other group at your institution? Do you think that the librarians all want to do a great job but the physics professors could care less? No, I think everyone at the institution, when you ask the question, right at the beginning, wants to do a great job. They're excited about it.

So how come there's so many things wrong? Well, here's the reason; most problems are systemic, but we deal with most problems as if they were extrasystemic and assignable to the individual.

In higher education we do more peer review than any place else. Peer review is based upon extrasystemic. It says the first thing I have to do is find the quality indicator. If you're a teacher, we'll take student evaluations. Eighty-six percent of all institutions use student evaluations as the primary means by which they assess teachers. You can use grades in the classroom and you can use the tenure system.

First we try to identify a quality indicator — for example, student evaluations. Number 2, we rank order everybody. Number 3, we assign a threshold. And number 4, we shoot those who fall below the threshold.

What happens in this example if we have poor teachers? For those of you who are teaching, don't they get the Z scores and send it back and show you where you are on this distribution and if you're bad enough, what happens? Well, what do we do with bad teachers?

AUDIENCE: Promote them.

MR. SEYMOUR: We promote them. We promote them because they do great research. If they have tenure — actually, we make them teach freshman. In many ways we ignore them because the students aren't customers anyway, right? They act like employees, right? So we can ignore them because they're professionals and they should, in fact, get better themselves, right? But in most institutions if you ask whether you've got quality faculty, they will tell you that they have standards, they have tough standards. What are their standards? It's based upon a quality control model; that is, sort and shoot. It's a sort-and-shoot methodology, which is based upon identifying who are the bad apples.

If I want to increase the quality of my teaching faculty, as an example, how do I do it? This is how we say we're going to do it: We rank order everybody. We invoke a threshold. We put all of our time and energy into that. Look at tenure. I hate to pick on tenure but I think it's archaic. We spend all of this time and energy for seven years and in that last year we send copies out here and copies there and bring people in, all of our time and energy is devoted towards a threshold. So what's the game become? To get to the triangle, isn't it? All of the time and energy of the people in the institution is to get over the threshold. But if I can operate at the little square, why is it acceptable for me to operate at the triangle?

You see, it's a system issue, but we're dealing with it extrasystemically. What happens if I chop off five percent of the tail, for the statisticians in the group? When I go through all of this time and energy and devote all of this to the tail what happens to the average of the distribution? How much does it move? Five percent. If you want a recipe for mediocre mediocrity, this is it: peer review.

If I want to improve the quality of teaching and learning in my faculty over the next ten years and I want to improve it by 50 percent, what do I have to do? I have to get rid of 50 percent of the people according to this.

This is what quality — CQI and TQM — is all about. It's saying what we really have to do is deal with those systems issues as system issues in the aggregate.

I'll come back to the teaching one. Peter Seldon had a recent study that said 86 percent of institutions use student evaluations. How many institutions have teaching excellence centers? Does anybody know?

MR. CROWE: Fifty percent?

MR. SEYMOUR: Thirty-three. What is all of our time and energy devoted to? Identifying the statistical outlines, looking at the tails of the distribution. That's not how you make any real gains in our organization. This is how you do it: by narrowing the range and shifting it over to the left. And how do we do that? You use things like best practices. You don't just give merit pay to the person at the top. Part of the responsibility was to identify what makes them so good, or the processes by which they generated those outcomes, and become a learning organization to help everyone get better. That's our responsibility and that's management's responsibility. No one else can do it.

And look at what even happens here. The person who was the best before is now all of a sudden average, because that's really what continuous improvement is all about. We're not going to improve this institution by having tenure, or claiming we've got tough standards, or merit pay for those who perform great. Merit pay is ridiculous. Those people who perform great are going to perform great regardless because they have pride in their work.

What we really have to do is get those people who work great and figure out, as a learning organization, why they're so good and call upon them to help us pull everybody up, and the only ones that can do that is management. Management is in charge of the system. Only management can make those kinds of gains. The individuals can't.

We've got our three people here in our process and we have a customer.

Number 3: If it ain't broke, you haven't looked hard enough. How many agree? Okay. How many disagree? Okay.

Tell me why you disagree.

AUDIENCE: Because I think some things are working all right, but that's not to say that they couldn't be improved or get broken.

MR. SEYMOUR: Because some things are working all right and, in fact, there is a whole notion in systems theory that if something is working well, tinkering with it can have different kinds of long-term implications.

How many think this is true?

MS. BAYARD: A process can be improved somewhat somewhere so I think it's true that if it looks like it's broken, you need to investigate, see how well your process is working, and you can find ways to improve it.

MR. SEYMOUR: I'm going to come down on the true side on this, because in most situations we simply don't know. Even if you say most or some of our processes are working well, we don't know. We don't have performance indicators in place to tell us. But we do know something else from a theoretical standpoint, and that is that institutions of higher education are largely closed systems. Consequently they suffer from the second law of thermodynamics, they decompensate, entropy.

One of the examples I can think of is a rental car agency — think what would happen if you had a brand new rental car and you kept sending it back out after people brought it in but you didn't clean it or look at the oil and water and belts. You didn't look at anything. You just kept putting it back out there. What would happen over a period of time? It's junk. It gets reduced to junk because it's a closed system.

Two things: You don't have a process owner. You didn't have someone that was in charge of that process. And you didn't have performance indicators to tell you that it was breaking down — well, you actually did but you didn't look at them. Given that, a lack of process ownership and a lack of performance indicators, all systems will decay; they will go downhill.

Most of our processes in higher education, which are cross-functional, don't have process owners, and they certainly don't have any dipsticks. Well, they probably have dipsticks but they don't have any systems. So what happens? This is what happens: Think in terms of your own organization and think in terms of these. These are the outcomes of poor processes that have degraded or decompensated. The customer complains that things have to be redone, problems are never solved, deadlines are missed, and the workload becomes excessive. I can give you dozens and dozens of examples of institutions that I've been at that will talk to you about the fact that it takes three months to get travel reimbursement. It takes 12 signatures at a school in Kansas to get an adjunct professor hired. You think it started out with 12 signatures? I'll bet not.

If you take down two quotes, would you take down these for me, please, right in this section. "All processes are perfectly designed or degrade to produce the results that they get."

Now it's one of those things that you ask "What did he say?" All processes are perfectly designed or degrade — or put perfectly degrade if you want — to produce the results that they get. In effect, all those lists of processed problems didn't just happen. You had a process in place that was just right for producing those outcomes.

The second quote right here, and the end result of what I just said, is that we spend more and more time on things of less and less importance to the customer.

We put a process in place, whether it's prerequisites or advising or whatever, and then we walk away from it. We don't have process owners. We don't have performance indicators. We don't have dipsticks. We don't have feedback groups. We are not a learning organization. They decompensate. Until what happens? This has happened to you and you know it. This is the extrasystemic. This is something that goes wrong and somebody must be blamed. So you find somebody to blame and all of a sudden everybody starts working really hard for a while, right? I've got a dozen of these examples. Then the process settles down and starts to degrade because you never dealt with it as a system problem. You always dealt with it as an extrasystemic, somebody is at fault.

E-1 and E-2 have to do with expectations. In service organizations, which we are in, service quality is defined as the gap between expectations and reality. So put yourself into a college or university, go back to your job, think in terms of process, which in my definition is going to be decaying unless you have process ownership and indicators. And one of two things is going to happen. People's expectations are high, let's say students' or your workers', and this gap between expectations and reality increases over time. So what happens? Either the students transfer or the people in your organization leave. All of the research that I've seen in terms of human resources suggests that when people leave, there's a greater percentage of good people leaving than bad people leaving. People who leave voluntarily are by and large the people who are fed up, and they have options and can go elsewhere. The good people leave and the others stay forever.

Or number 2, what happens? What's the E-2 line?

MR. CROWE: Expectations.

MR. SEYMOUR: You know what happens? People give up. This is the five o'clock person. You don't care, because you don't have control over it anyway and it's getting worse and you can't affect it and so who cares.

I hate to put this up because it takes a little bit longer to go through — well, let me do this really quick. This is Continuous Quality Improvement. This is what we think it looks like in most organizations. This scallop-shaped curve is the tools and techniques and principles of quality management fighting against gravity, decompensation.

That little dip in the beginning is just that it takes a long time to get smart, get up to speed. You're not going to see a lot of results early. When you all get smart, when you get the three rats together and you've got some tools and techniques, you can do a lot, up to a point. Then there's only so much that you can do to improve a process, and the time and energy that you put into it to improve it is not worth the effort typically and what happens is that gravity takes over, as you're tinkering with it.

What's the second line straight up? I'm so sick of this word even though it's important for me and it's something that I think very —

MR. MERIKANGAS: Paradigm shift?

MR. SEYMOUR: That's another word I hate. It's in all the papers. We're doing this to everything. People wear this label out.

AUDIENCE: Reengineering.

MR. SEYMOUR: Reengineering. We're reengineering everything. I see it at all the conferences. Reengineering tooth decay. But what it is — and it's a whole other topic — is sort of starting all over again. It is, in effect, the simplest way. Maybe you've heard this before so I hesitate to use it, this is the first part of that curve, this Continuous Quality Improvement is improving the candle. The second part is inventing the light bulb.

But notice also what happens with expectations. We found that as you improve, expectations improve. They drive each other. People demand more. They want more. You can do better. It forces you to do better.

All processes are designed or degraded to produce the results that they get.

Customer input/output, process, management in charge of the system, process decays. It's true. If it ain't broke, it's only because we invented it yesterday. That's not to say that we have to spend a great deal of time and energy initially, but we do have to make sure that there is a process owner and that there are performance indicators. We have to make sure that there's a dipstick. Anyway, this curve goes down real quick.

Next question: doing the right thing — this is a tough one. Doing the right thing is more important than doing things right. Think about it for a second.

How many think this is false? So most of you think this is true. Why do you think it's false, sir?

AUDIENCE: Because "doing the right thing is more important than doing things right" is no more true than doing things the other way around.

MR. SEYMOUR: Than the reverse, right.

AUDIENCE: So the right way to state this is "do the right things right."

MR. SEYMOUR: I like that. That's better than what I've got. Okay. I think it's true. I'm going to go with the majority because I'm easily led.

I'm going to go with it for this reason. Because there's a topic here that becomes very, very important and if you can grasp this, sort of like the variation one, I think you can get a lot of mileage out of this.

We've already established that no one in here does mediocre work. And I think if you go around the university, you won't find too many people hanging out, right? Most people are working pretty hard. So, again, how do you explain AT&T? How do you explain that AT&T is not recruiting at half the institutions if everybody is working so hard, if everybody wants to do a good job?

By the way, there have been plenty of studies, not just AT&T. For those of you who are interested, AACSP did a study not too long ago with Corbin McKinnon that showed almost an inverse relationship between what vice presidents of human resources and presidents and CEOs of organizations wanted from people coming out of college and what professors and deans thought was important. And it went in different order from good communication skills, team work skills, whatever, that industry wanted. They can teach all the tools and techniques. Our professors wanted to teach tools and techniques; that's most important.

Interestingly enough Huseen did a recent study on the liberal arts and found out the same kind of thing. CEOs and others, the vice president of human resources, wanted exactly the opposite; that is, the problem that they had with liberal arts people was that they couldn't do anything when they came out. They had no practical skills. They were great thinkers but they couldn't do anything. They couldn't hit the ground running. In fact, an AT&T study shows that business people get the job but over a period of time it's the liberal arts people that run the organization.

But, in fact, your same study shows that what industry wants is for liberal arts people to be more like business people but business people to be more like liberal arts people. We make these false differences. They don't care.

So how does all this happen? How is this possible if we're doing things right? Let me give you an example. I was recently at Penn State. They have a team of physics professors and engineering professors working together. What's the aim of engineering education?

AUDIENCE: To educate engineers.

MR. SEYMOUR: To educate engineers?

That's a little creative.

MS. ELBAZY: To produce quality services and goods for the society.

MR. SEYMOUR: Well, I mean, if you ask me I would have to state it in terms of effectiveness and efficiency. I would say "to produce the best possible engineers;" that is, to make sure they have the required skills, in terms of our customers, students and industry, so they have the best mix of portfolio skills, and they receive it at the least possible cost. That's effectiveness and efficiency. The best utilization of our resources, of our scarce resources, is to be able to do that.

Here is an example of fluid dynamics. We'll go the engineering route. The problem that they identified when they got together was that the engineering professors found that they were spending a huge amount of time teaching basic physics. Physics was a prerequisite. A huge amount of time. Rework. Also, scrap. Look at what happens? A whole bunch of engineering students all of sudden get that far and realize that maybe they're not doing the work, they can't do the work and that now they're farther and farther behind and they transfer to —

AUDIENCE: Business.

MR. SEYMOUR: Business, thank you.

So, who is the supplier? The supplier is physics. Who is the customer? The engineering professor is the customer. Who is engineering's best friend? The student, who is the co-producer of learning and industry.

Let's take freshman English. What happens if I do things right and dramatically improve freshman English? What happens if I do things right and improve dramatically biomechanical engineering? Doing things right at point A, freshman English or at point B, biomechanical engineering, has no effect on throughput.

The capacity of a process is equal to the capacity of a bottleneck. I have to be able to do the right thing first. In that process, if I can't identify the bottleneck of lab — of physics education, it doesn't make any difference how well I do at other points because efficiency and effectiveness at other places is a mirage; it does not help. This is all in constraint theory stuff, but when we think of it in terms of our educational system, it really does apply.

The second part is the bottlenecks usually occur where? At the handoffs. I want you to remember that word, "handoffs." The bottlenecks occur at the handoffs. I can expand the capacity for teaching and learning in engineering if I clean up the physics engineering handoff, and that's exactly what they're doing. It's unheard of. I've got physics people in engineering and people sitting in a room talking to each other saying "what do you need." For what? In order to add value. In order to become a high-performing organization.

Doing the right thing is more important. Which is exactly what they're doing. Now they're in a position where they can do things right, but it wasn't until they did the right thing — focus on the bottlenecks first. So I'm going to say true on this.

Four: the handoffs. You can make more gains in your organization by looking at the handoffs than anyplace else because people within the box are doing things right. It's between the boxes where they're not doing the right things. I know this is difficult. Typically doing things right is within the box, but not doing the right things is between boxes.

We all want to do a good job. It's the handoffs. It's the white spaces in the organizational chart where work gets done and where all of the waste occurs.

Okay, last one. Oh, I don't want to do this one. Can we just leave?

"If you cut my budget, you sacrifice quality." If you cut my budget, you don't necessarily — this is false. This has to be false. I know we want it to be true. I want this to be true for you, but it's not.

Unfortunately we have a resource mind-set in higher education that we cannot share. This is how we view the world: Resources are a function of perceived quality. Perceived quality affects public trust. We can get higher money from the legislature. We can get higher tuitions. Consequently we have more resources, which means that we have perceived quality.

Harvard is necessarily a great institution. Delaware County Community College is not. That says everything about resources and nothing about value-added. In fact, in that article that you mentioned about the Baldridge, one of the problems I said about the Baldridge was that when they give out the first award and it goes to a fellow or a county community college, we may have a problem in terms of higher education. Because Delaware County Community College, as far as I can see, is one of the better institutions in this country in terms of adding value. They do wonderful and exciting things. That's not to say that Harvard doesn't. It's a lot easier to get a perfect input. Remember, if you're input basket is absolutely clean, you can do a lot of great things.

The mind set is "the more resources, the better the quality." We all suffer from it. You've all seen the *U.S. News and World Report* best colleges. Anybody that makes it on the list, uses it. Anybody who doesn't make it on the list says it's flawed methodology. Notice that I can argue everything on there is a resource. Everything is a resource.

So it makes sense that we think in terms of budgets. If you give me more money, I can give you quality.

Let me read this from *Los Angeles Times*: Just a couple of days ago in a March 1994 letter to the *Times* section, there were three responses to an editorial titled "But Should UCLA Cost As Much As Stanford?" which detailed the growing concept between access and rising fees in the UC California State system.

There were three letters from a professor, a student, and a citizen. Yeah, exactly. You know what's coming. The professor wrote, and I quote, "The citizens of this state have a choice to make: Pay for access through higher taxation, deny it through higher fees, or dismantle the universities through lack of funding." "You owe me," that's my addition. The student wrote, "And what do we get for this price? With the exception of labs, every single class I've had in the last two years has been in an auditorium with 200-400 other students." And the citizen wrote that a top administrator at UC-Irvine says that they can't get highly paid professors there to retire. With the summer off and only 2.68 classes to teach, they are already retired and with a great salary. The citizen wants more teaching, the student wants more teaching and the professor wants more money. This, by definition, is not going to work.

What happens in that cycle is a value gap will necessarily occur, and it has occurred. We see it every single day in the newspapers. Unfortunately these are the ways that we have responded. Again, I can give you a box full of examples of each one of these: increased revenues; billion dollar campaigns. In *The Chronicle of Higher Education* we have a whole section now on campaigns; raise tuitions; debit cards. Have you see this one? Debit cards on campus.

The one that I saw recently on libraries where they're charging for interlibrary loans. Any way to make a buck here, right? The best thing we can do here in times of budget problems, because quality is a function of resources, is to increase the resources. Or, number 2, we decrease costs. What do we do? We cut the library hours. Or we do things like early retirement plans, or as I call it, how to turn a large ineffective, inefficient institution into a smaller ineffective, inefficient institution. Or we scream louder. We're like the professor here. We make threats and we say you can't do this to us, regardless.

Notice what happens: None of this has anything to do with how the institution operates. Yesterday I was in a similar session up in New York, and I won't tell you the organization, but there was a session before ours on how to get the legislature to give us more money. There were 300 people in that. Our session came next, 200 people left. It's a lot easier to just get more money.

Number 5 is all of this works within a framework which has to be driven by performance first. If we do as good a job as the jails do in articulating what we will do with our money, we'll get the money instead of them. They say, "Give me $60,000 and I'll build a jail cell and I'll take a criminal off the street." That, apparently at this point in time, is a much more effective argument than what we're doing.

Studies show that 30 to 40 percent of the work in an organization is waste, and I have no reason to believe that higher education is any different: scrap, rework, complexity, breakdown, delay. There was an *Educational Record* article that I wrote last summer and by mistake they took the last couple of paragraphs off, so that didn't appear in print and I'll be damned if it's going to go unstated so I'm going to read it. Again, this is resources. Resources.

According to Aesop, a rich man was on a voyage across the sea when a terrible storm blew up. The ship capsized and everyone was thrown into the sea. All the passengers began to swim for their lives except for the rich man. He raised his arms to Heaven and called to the Goddess Athena, offering her all kinds of riches if she would save him. The other passengers soon reached pieces of wreckage and, clinging to them, shouted back to the praying man, "Don't leave it all to the goddess, you must swim too."

By relying on a resource model, higher education has adopted a passive approach to its own salvation. In the fall of last year Trenton State asked its students to pay a $500 fee for quality so that the college could hire new faculty members, thereby insuring quality. On the West coast, earlier this year, the Chancellor of the University of California system proposed a five percent faculty staff pay cut to go along with the 33 percent increase in undergraduate fees. One newspaper source had said that the pay reduction proposal was floated in order to show the governor and the legislature that we are bleeding. Scream louder.

As we continue to plead for more funding, we have surrendered the locus of control to off-campus constituencies; that is, to the resource providers. We have left it all to the goddess. The quality management philosophy is a systematic way to focus on educational and organizational processes. It is a way to regain control over our own destiny by actively and aggressively focusing on continuous improvement performance. The methods are not easy and the work is time-consuming, the language can be frustrating and the results slow to come. Nonetheless, the time has come for us to realize we must swim too. Thank you for listening to that because I had to say it.

So the last one is false. It is true only if you amend it to read: "If you cut my budget and I choose to operate the same way I have in the past, then quality is sacrificed." But remember, the AA definition of insanity: Insanity is doing the same thing the same way and expecting a different result.

This is a difficult agenda. I'm thrilled that there are so many people here tackling this, and I wanted to leave you with a suitable inspiring message. Some of you know something about football so I chose this one: At half time one afternoon when the LA Raiders football team was being beaten convincingly, John Madden recited to his team Jack London's personal credo. Can you imagine John Madden reciting Jack London's personal credo? It goes like this: "I would rather be ash than dust. I would rather my scarf should burn out in a great blaze than it should be stifled in dry rot. I would rather be a superb meteor with every atom of me in magnificent glow than a sleepy and permanent planner."

Madden then turned to his quarterback, who some of you might remember, Kenny "the Snake" Stabler, and said "What does that mean to you?" And Stabler said, "Coach, it means throw deep."

Thank you very much for being here. Thank you for your attendance, and throw deep, please.

MS. JUROW: Thank you, Dan. This will be a little more incentive for you to come this evening because if you have any questions, you can ask Dan then.

We need to move on to our first set of concurrent sessions.

You'll find in your notebooks, in the first part, a floor plan so that you can find the rooms that you're interested in. Why don't we give ourselves 15 minutes to get to our next session — according to my watch that will take us to 3:40 p.m.

GATHERING CLIENT DATA: WHAT WORKS?

Christine Avery and Diane Zabel
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OVERVIEW

By now, most libraries involved to any extent with Total Quality Management realize that successfully gathering information from their customers is the key to improving services. But how does one go about identifying the needs of customers with competing demands and different perceptions? Our answer is that libraries have to employ a variety of techniques. The key is to fit the tool to the problem in hand, bearing in mind that time and cost involved in gathering the data are important from a management perspective. This paper focuses on specific techniques appropriate for large research libraries. It illustrates a variety of methodologies, both formal and informal, with which we have had first hand experience. Cases have been drawn from technical, public, and administrative service areas of libraries. Because Total Quality Management emphasizes the use of quantitative data, we have focused on survey research with some of its attendant pitfalls. We have also included a discussion of the use of qualitative data, such as client interviews and focus groups, with particular attention to the problem of gathering data that is representative of the larger group.

INTRODUCTION

When we talk about gathering client data, most of us automatically think in terms of surveys or interviews to figure out what our clients want or think about our services. Our intention is to go beyond this automatic assumption and explore some of the broader themes involved in gathering data, pointing out the good and bad points of various methods as well as ways to improve the validity of research.

There has always been a split in the social sciences between quantitative and qualitative research. All too often this has been depicted as "scientific" versus "unscientific" research, "hard" versus "soft" data, and in other terms that really get in the way of taking a look at the strengths and weaknesses of different approaches. It is fair to say that quantitative and qualitative research methods are based on truly different underlying assumptions.

QUANTITATIVE VS. QUALITATIVE RESEARCH

A quantitative approach is associated with objectivity, an understanding of probability, methodological rigor (i.e., you're collecting data concerning the same variables each time you conduct a survey — not asking each person a different set of questions), and makes substantial use of statistics (i.e., allows you to generalize to varying degrees). On the other hand, qualitative research is more subjective in nature, the methodologies incorporate a high degree of flexibility, and it makes use of language and description in providing insight into attitudes and behavior. Qualitative research can provide great depth and understanding in a particular context.

SOURCES OF DATA – PRIMARY AND SECONDARY

There are three ways of gathering data. We can gather data through surveys (which include interviews), or we can observe behavior, or we can create an experiment. Most data gathered in libraries has been through the use of surveys, but some research has been observational (for example, some of the most useful information dealing with how people use online catalogs has been observational in nature). For a variety of reasons (among them, lack of familiarity with experimental design and our inexperience with thinking about how experiments could even be useful in libraries), experiments are rarely done in libraries.

All three of these techniques are ways to gather what is called primary data — the data that someone has collected through use of a survey, an experiment, or some sort of observation to meet a specific set of objectives. There is a second type of data out there known as secondary data. Secondary data are data collected by someone else for some (hopefully) known purpose, which may also be of use to us in understanding our clients. Our libraries are full of data that other people have collected, and our colleagues are sitting on data that often applies directly to our own concerns. Data collected in the past are often capable of being used more than once, to answer additional questions.

For example, if we were interested in how satisfied our customers were with our online catalog, and want to focus on in improving the catalog, we would probably design some sort of questionnaire, or we might interview a set of library users. We would collect the data, write it up, and consider the project done. But because we're not used to thinking about using more than one technique at a time to collect data for a project, we don't think about whether we would get a better answer to our questions if we looked around at what might have been done earlier at our own institution or at a similar institution. We might be missing some useful clues that either better explain the data we've collected or indicate that we've missed the boat.

In our hypothetical example where we're looking at the online catalog, surveys or interviews might yield data that looked perfectly reasonable and we might draw certain conclusions about what most concerns our users from that data. But what would you find out, and how might your conclusions change if an institution with a similar catalog had conducted an observational study fairly recently? What if they had examined search logs for their online catalog and noticed a high number of searches for information done in the wrong database, or noticed a high number of poorly constructed searches, or conversely a great deal of sophisticated use of systems? Would you at least consider whether some of that data might be relevant to your research, that there might be enough similarities between the two situations to permit some use of the secondary data to explain some of your findings? Some of this is changing because the notion of benchmarking is encouraging us to look around at who else has information that may relate to our own problems. Benchmarking may have some of a ripple effect in that we'll find that information other than direct numerical comparisons can be highly relevant.

WHY DO SURVEY RESEARCH?

Researchers like surveys because they are not too intrusive, they are direct, they are usually anonymous so people may tell you things they wouldn't say to your face, the analysis is fairly straightforward, and if you've got a representative sample you can draw generalizations from your findings.

What's wrong with surveys in general is that it's so easy to do them really badly. Bad survey research has contaminated things. All too often someone does a survey with very little thought given to sampling techniques, the questions are poorly worded or biased, results are misinterpreted — i.e., they're done by people with little training in research in the social sciences. In addition, surveys are overused and perceived as nuisances, thanks to direct marketers with their suppertime phone surveys.

TYPES OF SURVEYS

Each type of survey also has its own set of advantages and disadvantages. What kinds of surveys are there?

1. **On the Spot Paper Questionnaires We Ask People to Fill Out.** This type could even include some forms that we routinely require people to fill out, such as interlibrary loan forms. With little or no modification, you might be able to gather information from a real variety of places by using these existing forms.

Advantages:
a) very convenient
b) can get a high response rate, captive audience

Disadvantages:
a) may not be able to get a very representative sample (look at all the research done based on college students)
b) may not be able to do this in many situations
c) often has to be short, questions may be simplistic
d) setting/timing may not be ideal

2. **Mail Surveys.**

Advantages:
a) convenient
b) cheap
c) potentially can get a very large group

Disadvantages:
a) poor response rate, can't generalize (a good response rate would be 50-70% with follow-ups)

3. **Phone Surveys.**

Advantages:
a) fast: one week or less
b) wide range
c) good response rate (can achieve a 60-80% response rate with trained interviewers who are good on the phone)

Disadvantages:
a) can be very expensive

4. **In Person Interviews.**

Advantages:
a) 80% plus response rate
b) can be very cheap if you use volunteers

Disadvantages:
a) can be very expensive if you use a consulting firm or professional interviewers
b) interviewer bias
c) interviewer effects (respondents may be embarrassed to make some comments)
d) leading questions
e) inconsistency (an interviewer may not always ask people the same questions)

HOW TO DO SURVEY RESEARCH WELL

There are eight basic questions to be answered when you do a survey research project.

1. **What Do You Want to Know?** This is actually the most important decision. Don't expect a survey to answer all of your research questions. Keep the survey focused.

2. **Who Do You Need to Interview?** In most cases, it is much more important to have a representative sample than a random sample. Figure out who knows what you want to know.

3. **How Are You Going to Select People to Interview?** Aim for random selection. Avoid any sort of systematic bias. Remember that representation is the most

important factor.

4. How Many People Do You Need to Interview? There are two things to remember. First, a sample's accuracy is more important than its size. In other words, are you interviewing the right people? Second, sample size is usually independent of population size. That is, just because you have a huge population don't assume that you need a huge sample. For example, election polls are based on a small sample but are representative of the population as a whole.

5. What Are the Questions that Will Be Asked? Look at other surveys for good questions. Get advice from your colleagues. Try for multiple choice questions as much as possible but include some open-ended questions. Pretest your survey to eliminate ambiguous questions and avoid bad questions (See Figure 1).

6. How Will the Questionnaire Be Administered? Ask for volunteers. You'll be building support for your project. If others feel that they have a stake in it, it's more likely to be successful.

7. How Will the Data Be Analyzed? Get some advice from experts on your campus. Many spreadsheet packages will do a very basic analysis. Q&A or Excel could be used for frequencies. It is probably wise to build some expertise in SAS or SPSS. You can usually have a consultant or campus expert help with this part.

8. What Do the Results Mean? Know the limits of your statistical analysis. Don't overgeneralize. Remember that in the social sciences the best we can usually do is describe what's going on, causality is extremely difficult to attribute.

EXAMPLES OF LIBRARY-BASED SURVEYS

Examples of library-based surveys are appended (See Figures 2-4). Our survey examples include a traditional paper and electronic questionnaire, and a telephone survey.

WHAT IS QUALITATIVE RESEARCH?

The purpose of qualitative research is to uncover perceptions, feelings, attitudes, and ideas that relevant individuals have about an issue. It involves talking in depth with a few individuals or small groups.

Qualitative research complements quantitative research. It should be used as an adjunct to quantitative research. It is not a replacement for quantitative research.

It can be used in preparing for quantitative research. For example, qualitative research can be used to form a general hypothesis. It can also be used after quantitative research has been conducted to provide insight into survey results. Qualitative research can be particularly valuable for needs assessment and problem analysis.

WHAT ARE SOME BASIC QUALITATIVE RESEARCH METHODS?

Qualitative research uses two basic methods of data collection: 1) Individual interviews and 2) focus groups.

With the first technique, carefully selected individuals are interviewed one at a time. Individual interviews are both structured and in-depth.

Focus groups are a prevalent form of qualitative research. Instead of interviewing people one at a time, a focus group brings together a small group of people for a focused discussion. By definition, a focus group generally consists of 8 to 12 participants from a target group who participate in a 90 to 120 minute structured discussion led by a trained moderator. Focus groups have been used for decades in marketing and advertising research. Focus groups were used as early as the 1930's when women were asked about soap. The basic techniques were established in *The Focused Interview,* a 1956 classic by sociologist Robert K. Merton and others. Focus groups were originally perceived as a generic research method that could be applied to any setting.

WHAT ARE THE STRENGTHS OF FOCUS GROUPS?

This methodology goes beyond a questionnaire. It provides more personal, in-depth information than quantitative research. The purpose is to get small groups to articulate their beliefs about an issue. You can use focus groups to determine what your clients like and dislike. Focus groups can help explain people's behaviors. Individual comments are important because participants may make telling comments. Participants tend to be less inhibited in a group discussion than in individual interviews. The security of a group setting makes them more likely to express their feelings. Using a group widens the range of responses. One individual's comments can trigger a chain of reactions from the other participants — i.e., one comment can have a snowballing effect. Focus group discussions can be more candid and spontaneous than individual interviews. Focus groups provide an opportunity to probe your clients needs. By improving your understanding of clients needs, you become better able to improve the quality of services to clients. You can also use employee focus groups to solicit insights of employees into problems and solutions.

Focus groups can be less time consuming than a written survey. They are also less time consuming than multiple individual interviews. If you are using individual interviews as a technique, you would probably have to conduct 15 to 30 interviews in order to have an appropriate sample size. You can plan, conduct, and analyze the results of a focus group discussion in just a few weeks.

In contrast to written surveys, focus groups are relatively inexpensive. The cost depends largely on the number of sessions you conduct, the choice of moderator, and the availability of facilities. You should use more than one focus group in case the responses of one group are atypical. A rule of thumb is to hold two to four groups per target audience. Ideally, you should continue to hold sessions until the discussion fails to reveal any new issues. Libraries are fortunate because they can use faculty members or graduate students who have had experience with focus groups as moderators. In addition, facilities are generally free since the sessions can be conducted in the library or elsewhere on campus.

Good public relations can be an added benefit of focus groups. Participants often enjoy the experience. It makes them feel that their opinions are important.

LIMITATIONS OF FOCUS GROUPS

You have to remember that focus group samples are both small and unrepresentative. You have to be careful not to project the results to a larger population since focus groups don't provide a large enough sample to allow for extrapolation. Since the results are not projectable, qualitative research is not a substitute for projectable quantitative research. Focus groups complement traditional surveys.

You have to be cautious since intent and actions are two separate things. Participants might respond that they would use the library more if hours were expanded. This doesn't mean that they would actually do so if hours were increased.

Group dynamics can impact the outcome. This is especially true if one or two participants monopolize the conversation.

This is why having a good moderator is the key. Success depends heavily on the moderator. A moderator has to be able to use a range of verbal and nonverbal techniques in order to ensure that every participant has an opportunity to speak and that no one monopolizes the discussion. A moderator needs to be able to direct but not control the discussion. Moderating is a skill.

Focus groups have been widely used in colleges and universities. For example, admissions offices have used focus groups to determine how and why prospective students choose a college. Focus groups have only been used by libraries in the past decade.

LIBRARIES CAN USE FOCUS GROUPS TO:

1. Determine how well existing services meet clients needs. The Iowa City Public Library used focus groups to find out how the library could improve services to the business community. Individual interviews can also be used to find out what your customers think about service.

Penn State recently conducted 16 individual interviews with frequent and infrequent ILL users. First, an interviewer conducted in-depth, unstructured telephone interviews with nine frequent ILL users (both faculty and graduate students) to determine what they thought about the service and their suggestions for improvement. Overall, the respondents were very positive about ILL and they did offer a number of suggestions for how service could be improved, such as the ability to send requests electronically. Next, the same interviewer conducted in-depth telephone interviews with seven infrequent ILL users. The interviewer asked four open ended questions: 1) What do you expect from ILL? 2) How do you prefer to communicate with ILL? 3) What might encourage you to make more use of ILL?, and 4) What amount of time do you think is reasonable to wait for materials? The interviewer found that this group tended to have an apathetic or negative view of ILL since they infrequently used the service and didn't know much about the service. In contrast, the first group tended to have more realistic expectations.

2. Help design quantitative studies. Qualitative research helps you identify the questions to be asked. In addition to helping with the focus of a survey, qualitative research can help with the wording of the survey. You can use the language that participants use in order to increase the likelihood that survey respondents will understand the questions being asked. The individual interviews that Penn State conducted with ILL users were followed up by a print handout survey.

3. Supplement data collected through a user survey. Purdue University used focus groups to gather student users opinions about the quality of service (i.e., the collection, staff, facility). These focus groups supplemented data gathered through a survey on student and faculty attitudes toward the library.

4. Provide insight into non-use. While quantitative research provides data about who uses library services, qualitative research, particularly focus groups, provide insight into why people use or do not use library services. The Denver Public Library used focus groups to find out the needs of minority populations. This insight into non-use is critical if libraries want to improve services, increase use, and increase users satisfaction.

5. **Plan for a new facility.** Penn State is in the process of planning for a major expansion that will result in several new libraries within a library, such as a business library, social science library, education library, etc. Last year we conducted focus groups with faculty and students in order to gather input about the design of each of these specialized libraries. Although our intentions were good, we found that things could go wrong. One problem is that groups can be hard to assemble (especially faculty). No one showed up for one of the discussions and one of the other sessions had poor attendance. These sessions were scheduled in winter and bad weather forced us to reschedule one of the other meeting times.

6. **To solicit input on electronic resources.** Cornell University used focus groups to find out what features and enhancements users would like to see incorporated into the Mann Library Gateway.

A SUCCESSFUL FOCUS GROUP DISCUSSION REQUIRES:

1. **Established research goals.** Define what the purposes of the study are. Determine what information is needed. The purpose of a focus group is not to arrive at a group consensus, change attitudes, or resolve conflicts, but to collect qualitative data to answer research questions.

2. **An identifiable target audience.** Determine whom to study. Who should the participants be? Do you want to study clients or potential clients? If you are studying users of a particular service, such as ILL, are you interested in those who make limited, moderate, or heavy use of ILL? Participants should be carefully selected and should represent the individuals you want to study.

3. **An objective, enthusiastic, and knowledgeable moderator.** An outside moderator is more objective. This is why it's best if the moderator is not a library staff member. It is important that the moderator be perceived as friendly. The moderator also needs to be knowledgeable about the subject. A moderator needs to be a good listener and needs to be able to draw out reticent participants. Good moderators ask probing questions such as "Give me an example of ..." or "Would you explain further?" It is also important that the moderator try to minimize bias. An example of moderator bias would be the reinforcement of favorable comments by head nodding or praise such as "excellent," "wonderful," etc.

4. **A carefully planned discussion.** The moderator, in conjunction with a library staff member, should prepare a written guide which outlines topics to be covered. This guide should have planned questions and a sequence of questions. A moderator should avoid questions that can be answered by a simple yes or no. A moderator should limit the number of topics to be addressed so each one can receive sufficient attention. A focused discussion generally revolves around fewer than ten questions. There are often only five to six questions with follow-up questions. If the topic is complex, there should be even fewer questions. Good focus group research is narrow in scope. Rather than gathering superficial information about many ideas, it is better to gather in-depth information about a few issues. Before each session, the moderator should welcome the group, explain how participants have been selected, identify the objectives, and establish basic ground rules, such as the

need for participants to speak one at a time and that there are no right or wrong answers.

5. A record of session. The session can be recorded in several ways. First, you can have a representative from the library sit in, observe the session, and take notes. This observer does not participate. You should limit the number of observers so their presence is not intrusive. Another option is to have the observer behind a two-way mirror. Sessions are generally taped with an audio recorder. If the session is being taped, however, it is important that the moderator tell participants that they are being recorded. You can also consider using a moderator and an assistant moderator. The moderator leads the discussion and takes minimal notes. The assistant moderator takes extensive notes, operates any equipment, and handles logistics such as refreshments. After the session, the moderator transcribes the tapes. The moderator should prepare a written analysis soon after all the sessions have been conducted using the transcript. The moderator's notes and observer's notes can supplement the transcript if the tape is unclear. This written report should outline the broad themes which have emerged in several different sessions. There are commercially available computer packages (Qualpro, Hyperqual) to analyze transcripts. These packages typically identify the frequency of words and phrases. The problem is that packages like these may take comments out of their context.

6. A comfortable facility. The room you use should have comfortable chairs. It should be convenient, easy to find, and free from distractions. You should also serve refreshments.

ASSESSING QUALITATIVE RESEARCH

The following criteria can be applied to both individual interviews and focus groups.

- Are the objectives clear?

- Are the number of individual interviews and/or focus group discussions adequate for the issues being explored?

- Have the participants been carefully selected?

- Is the interviewer or moderator well trained?

- Is there a written guide listing topics to be covered and a sequence of questions?

- Does the analysis identify broad themes that have emerged in sessions?

CONCLUSION

Focus groups can be used in conjunction with individual interviews and surveys. The best approach to data collection is one that uses several methodologies. Both methods of gathering data (quantitative and qualitative) are useful and the relationship between them should be complimentary rather than adversarial. None of the techniques which we have presented are particularly complex. The key to success is developing good judgement about what techniques to use under which circumstances.

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Christian University and an M.L.S. from the University of Texas at Austin. Diane Zabel has been the Social Science Reference Librarian at Pennsylvania State University, University Park, since 1986. Her current research interests include flexible work arrangements and total quality management. She coauthored "Flexible Work Arrangements in ARL Libraries" (ARL, 1992) and with Ms. Avery "Total Quality Management: A Primer," (RQ, Winter 1992). Ms. Avery and Ms. Zabel are in the process of authoring a sourcebook on TQM to be published by Routledge in 1995.

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QUESTION AND ANSWER SESSION

Susan Jurow, Convener
Director, Office of Management Services

MS. JUROW: It was our intention that this just be a very, very informal session. We do not have presentations prepared up here. We wanted this to be an opportunity for questions and answers, or if you wanted, to ask Dan about anything left over from this afternoon's session. If there are specific questions about issues that you are dealing with in the implementation processes that you're involved in, this would be an opportunity to ask them.

We have two other people up here, along with Dan. Bill Grundstrom is going to be introduced more thoroughly tomorrow when he does his plenary speech. He has worked at both the American Productivity and Quality Center and at Motorola on quality benchmarking and other continuous improvement technologies.

Jim Marcum, who is sitting here in the middle, is the Director of Libraries at Centenary College in Shreveport, Louisiana. He's going to be giving a talk tomorrow on Performance Appraisal in the TQM Environment. He's here tonight because he's prepared the books and articles and a brief section of the National Productivity Review, and we thought he might be able to suggest some additional readings as we're going through this process.

I should also say, rather than looking at this as a give and take from up here to back there, we want to look at this all the way around. So, if you have comments in response to each other's questions, we'd like to hear those as well and not just expect everything to come from the front of the room. So, with that as the basic ground rules, does anybody want to throw out the first question?

We do have someone recording this, so please state your name and institution before you start speaking.

MS. SIMMONS: Heather Simmons, Wayne State University.

We've been involved in Total Quality Management for a couple of years now, and there are rumors that some day the faculty will be involved in the process. I'm getting to the point where it's wonderful within my part of the university and the other administrative, nonteaching areas of the university, but I'm sort of banging my head against faculty who give impossible library assignments; and I can't make that work within the Total Quality Management idea when the faculty aren't involved yet.

MR. SEYMOUR: Is there a question there, or was that just a statement?

MS. SIMMONS: When you're trying to deal with someone who is sort of an anti-TQM entity, how do you —?

MR. GRUNDSTROM: I think the effort in TQM requires ownership, ownership of the individual, and probably you can do it in pockets where it's going to work from your department, as long as you have power and the ability to control what happens within that department. The real challenge, of course, is to get the whole system running in the same direction, and that's some of your concerns.

A lot of organizations that started the process kind of started with pilot efforts, set their measures and their targets and let the success sell the process to other organizations. There's no easy answer to this, but I would say if you could: Get very focused on a specific area within your operation, improve on it, and then market those successes to the rest of the organization. You're really talking about a cultural change, not just a nice movement to get into. That's one surface response.

MR. McGRATH: My name is Bill McGrath, from Buffalo, and I'm a faculty member, and I've read a lot about who defines quality. I'm a teacher of library science, but I'm a former university library director, so I've spent many years on both sides. And what I see or what I'm hearing is that you, the librarians, are defining the quality.

Now when you define it, that's fine. For example, if you say, "We offer CD-ROMs in our library, so therefore we're a quality library." No. No way. That's not quality as I see it, it's the people who are going to be using those CD-ROMs, or whatever the service is, who are going to be defining the quality. And I'm one of those people, I walk into my library and I see a lot of people very, very dedicated to quality; but I see an awful lot of lousy quality. So I think that we all have to get into the business of finding out what quality is and who is going to define it. Is that correct?

MR. GRUNDSTROM: I think you're right. We talked this morning about the customer; and I suppose if I think about the customer and I think about the next operation as customer, if I had that in sight, then I could start anywhere in the organization as long as those two pieces were there. But I think you do have to define some things.

Probably one of the biggest stumbling blocks in the beginning is just a language issue and definition issue. And there are a lot of personal biases about what quality is. I think some organizations in the beginning got upset when somebody said you've got to initiate quality, because they said, "For 50 years we've been doing quality around here; what do you mean? Is it something brand new?" So, in some cases, it's almost an embarrassment to say we have to do it.

MR. MARCUM: In health care, they've found this exact problem for years: If you start on the administrative side and you don't include the doctors, eventually a couple of years later when you try to include the doctors, they say, "Well, this isn't about us, because you wouldn't, you didn't, include us."

So you're in a difficult position in higher education; you're sort of damned if you do, damned if you don't. Oregon State did it that way; they started out with the administrative side and then three years later they started with the professors and the professors said, "What's this got to do with us?"

If you are, at any point, trying to get involved with cross-functional processes, which ultimately you need to do — that is, outside of the library, because that's where the major gains are going to come from, the cross-functional processes — then you have to engage the professors. And there are many critical processes that professors are involved in that are not simply in the classroom, like the library. There are processes involved there that go out of their office; the process goes out of their office, around the building and over to the library and back around through and whatever.

So I would suggest that you begin to bring people into your process. When you put together project improvement teams you search out those people on your faculty who are involved in this. Specifically, look for people in engineering and business. Look at people who are a little bit more that way and keep asking and cajoling, and bringing them in to those processes that you're working on.

Then finally, as was suggested, communicate. Sell your successes like crazy. Show people that this works, show people that you've saved money, that you've reduced turnaround time, whatever it is, show them performance measures that work.

By the way, one of the things that I should have brought out. I wrote two research pieces for Goal QPC that look at 22 of the pioneering institutions. One was done in 1991, it's called "Total Quality Management in Higher Education, a Critical Assessment," and it's about a 28-pager on what the major problems are, what the major solutions are, where you are starting, and what kind of implementation strategies you are using. The other one, that came out last year, is "TQM in Higher Education: Clearing the Hurdles." It's about the ten major barriers to implementation and the strategies that the various institutions have used to overcome them. Involving professors is one of those barriers, so there are some very specific strategies that have been addressed.

MR. GRUNDSTROM: The last two years, too, I think in *Quality Progress*, the October issue, I did a special feature about quality in educational institutions; and it broke it down as to whether they were teaching it as a curriculum, or whether they were implementing it within the institution and what functional operations or departments were involved. They updated it last year, and I think it's going to be an annual document.

AUDIENCE: What journal was that in?

MR. GRUNDSTROM: I think it was in *Quality Progress*. October's issue, every year. October is quality month in the United States.

MR. SEYMOUR: The other months, we don't bother.

MR. GRUNDSTROM: No; we just zero in on October.

MR. SEYMOUR: That's right, get it over with, all at one time.

MS. JUROW: Bill.

MR. STORM: If labels are libelous and if TQM and TQI are labels, what can an institution that can't take on a total programmatic effort in this area do? Leaving aside those labels as you know it, what are the two or three things an organization might do to have a major impact — this may be a dumb and naive question —

MR. SEYMOUR: No.

MR. STORM: Among the principles of TQM, what are two or three things that we might do in a short-term, say a year or two, effort that would really have a major impact?

MR. SEYMOUR: Whoa.

MR. STORM: That's what I say, it may be an impossible question.

MR. SEYMOUR: It's a good question, but what is your intent? I mean, what is the aim of that first two years? Is it to inspire?

MR. STORM: To make some maximum impact on the organization according to the principles that this TQM and CQI adhere to.

MR. SEYMOUR: And then what?

MR. STORM: To have a better

organizational product, I suppose.

MR. SEYMOUR: Then I wouldn't bother, then.

MR. STORM: So it's a bad question, right?

MR. SEYMOUR: No, no, no, of course not. I guess what I'm saying is that this really is, and I hesitate to use the terminology, but I will, this is really a transformation in your head. You really begin to act differently once you get this stuff in your head. You begin to see things quite differently than you did before.

MR. STORM: And is the transformation incremental, or is it total? All at one time.

MR. SEYMOUR: I think — well, that's an interesting one. Let me show you what's happened in terms of organizations, in terms of performance. This is what they've seen: you'll get performance improvement, which is based upon — not so much performance improvement, — but a knowledge curve. Just like a learning curve, which goes on the basis of having studied the maturity and thought about it, and maybe done some projects that you're thinking about.

Myron Trybiss and Peter Schultes and Brian Joyner, some of those people, have talked about what happens after two or three years — and this is why I'm struggling a little bit with your question: All of a sudden, you realize you don't know what the hell you're talking about, because you can pull together the tools and techniques and not really understand, which is why I was trying to do some of the theory stuff, on variation. So there's some know-why here that goes on, but until you can connect the theory to application, there's no real understanding. The second go-around, there's a second curve, which is know-how.

So I'm not certain — but you should start. It's better to begin to do something than to spend two years training or two years discussing, like at a couple of institutions that I'm aware of, that said they've been at this for two years and they haven't done anything at all but talk to each other. It's not a bad idea to come together, create study groups, read the material, talk to each other, and then try something. And learn from that and get through this initial phase, because early on you're going to recognize the fact that "Whoa, this is a lot deeper and some of the issues here are a lot more comprehensive than what I thought." So you want to go through this stage as quickly as possible.

I didn't answer your question, though, did I? I would do two things. I would form study groups. I think this is a wonderful thing — you don't announce it, you don't do anything, you find people who are interested, you get some of these materials, you meet every other Friday, and you spend a couple of hours talking about things.

Secondly, I would try something as a learning exercise. Keep it close, keep it small, don't announce it, don't have hats — forget the hats, okay? All the stupid mugs, any names, titles on this stuff; forget it. Just go try something and see if you can succeed. When you try something, as it's well known, you want to try something that's, as they say, low-hanging fruit. Pick something that's right there. Don't try a big cross-functional effort. Do something that's important, that everybody knows is important, where you've got a fairly good success ratio going in, pull together some good people and try to get a success and learn from it.

MR. GRUNDSTROM: I want to respond, too, and add a story of a real situation that happened to me. I also want to hit on the first question: Where do you start? I'd always look at my critical success factors: Why am I in business? Why does my organization exist? Why do we need to do this to improve?

There needs to be a beginning — and if that's the first six months of the effort, great. I go along with Dan in saying not to worry about the hats and the slogans. I personally have seen organizations that have gone to the mountain to get the bible from the guru on quality, come back to their organization and somebody said, "Do it like this, it'll work." But they never owned it any deeper than that, there was no emotional commitment to the effort. And in two years it wasn't working and they wasted a lot of money.

One of our suppliers to NASA, in Houston, called me up one day and said, "We've got a quality effort we put in place. We formed 68 teams based on a request from NASA, because they said 'you've got to have quality teams.'" And it was like — *voilá!* — 68 teams came out of the woodwork. Sixty-eight teams, and they asked me to come in and analyze the teams and give them an assessment of where they were. I said, "Well, what did you do with the teams?" They said they actually trained them on teams, they have visions and missions, and everything seems to be appropriate.

I said, "So why do you need me?" They said, "Because we can only find seven of the teams." I said, "It sounds good." They asked, "Would you come in and give us a day of your time?" Then I said, "Give you a day of my time? Pick up my expenses and I'll give you a half a day of my time. Set up the meeting and we'll come in." So they had a meeting with a big U-shaped area, and in the middle of the U-shape was a big round executive table with the steering committee of this company. Then, in the back of the room, they had the peanut gallery with the teams that they could find, ready to make their presentations.

Because they were to a supplier to NASA and were networked and partnered all over the country, they had microphones on the table which I thought was interesting, and then they wired me up and said, "Now we'd like you to talk to our subsidiary units in Northern California" — so I was wired throughout the United States. They sat me in the front and each team got up and made their presentation. Now this is hysterical. Teams were formed to solve problems, but they didn't know what problems to solve. So the teams were sent out to go find problems — as if we didn't have a problem already, right?

And each team became very energetic. You could see the ones that had practiced their presentation — with all the right flips and overheads, facts and figures, a mission statement. So we went through this exercise, truly an exercise. One team studied something that I thought was very, very important: I'll give you this story and I'll give you the story of another team.

The company was required by law to put together documents because they were a contractor to NASA. Yet there was nowhere to send these reports once they were done. So this team studied these required reports that no one knew where to send once they were created. Still, they were required by law and contract to put them together.

So they calculated how many different reports, how many man hours, the storage space and all the other physical stuff that was associated with the reports, but they had never totaled up the value of those reports. I jumped on a flip chart and said now let's give me the value — give me the per person hours to do this, what does that equal in labor hours? We put that on the page. How many pieces of paper and reproduction costs? Put that on the page. Now what are you doing with it? "Well, we're storing it." How many years do you store it? "Seven years, or longer." So we had all these documents stored; we put that on the page.

Guess what six months of that effort cost — $500,000. "That's a million bucks a year," I said. The steering committee is sitting there. If you wonder what you should do with your quality effort, the steering committee is a group that is supposed to make decisions on findings of the quality effort. The steering committee sat there like lumps on a log and said "Okay" and I said, "No, not okay. That's not okay. This team actually did some good work here. What are you going to do to implement the change?" And they said, "It's not our job." That's not quality. That's a disaster. That's another cost to you and me as taxpayers. That's a sin.

With the other team there was a very robust gentleman making the presentation, and he talked about everything he gathered, and I asked, "How many people on your team?" And he responded, "You mean now or in the beginning?" So he was the only team member. I had to ask, "How do you gain consensus?" He said, "Quickly."

But those are the ridiculous sides of this quality story. The positive side is that there was an effort to define some good things, but you've got to get into it so you can implement changes. If you can identify at the top of the institution the critical factors that you have to improve on, and go for those, you'll have some success.

I'm sorry to take that much time.

MS. JUROW: Thank you, Bill. That was very good. More questions? Karyle.

MS. BUTCHER: I'm Karyle Butcher. I'm from Oregon State University Library.

I had a question to a throwaway reference to interlibrary loan you made earlier today. You said that you were talking about libraries charging fees, and then you used as an example charging fees for interlibrary loan. I'd like to go back and revisit the whole fee thing.

What were you getting at with that?

MR. SEYMOUR: Well, it was perhaps an unfortunate reference. And I'd like to — am I backpedaling fast enough yet?

MS. BUTCHER: He was warned over dinner.

MR. SEYMOUR: The point was, and it was an unfortunate reference, it is important for you to understand your costs and where your money is going, and to benchmark against other institutions to find out who is doing the best job of interlibrary loan, how much it's costing them, and what their turnaround is. You should find the best in class and find out what they're doing and copy it. That is important, that part of it, the studies that you did. That's important to find out exactly how much it is costing you and where you are putting your resources. Because that's the kind of self-reflection that is part of a learning organization.

What's happened is, instead of trying to fix the system, we're trying to find out where can we get more money. And the debit card example — in terms of institutions being proud of the fact that they have found a way to capture money — Georgia Tech was very proud of the fact that they found a way to capture $140,000 of interest charges, which they gained by having students use debit cards.

With the reference to interlibrary loan charges, I think that you need to look at expectations versus reality and service quality. How many students coming to the institution would have felt as though interlibrary loans were part of their tuition? Maybe we're doing a disservice to them and to ourselves by hitting them with that charge.

MS. BUTCHER: Well, it got me thinking about the whole movement towards fees — both on campus and in libraries. And then you're concerned that we keep saying that if we throw more money at it, then we can do more quality. I guess I just wanted someone to explore this. Are you suggesting that we haven't pushed ourselves far enough? This is not a critical statement, I'm just curious. Our first hit is we're overburdened and we're going to have to add some fees and that will prevent people from using our services, therefore we're penalizing students.

MR. SEYMOUR: I'm on very thin ice here, because I don't know enough about your business to be able to be specific; but this I know, in industry, ideas find money. In higher education, money finds ideas. Backwards.

Yesterday I was up in New York City, and we did a presentation, myself and a number of my friends from various institutions, and a professor stood up in the back of the room and said, "You know, I've been looking at this stuff for a long time, and I think there's something there. What I don't understand is where do we find the resources to be able to implement some of this stuff?"

He went right back to saying that this is additional. The whole notion is that 30 or 40 percent of what we do is scrap, rework, complexity, breakdown, and delay; we have to figure out how to capture it ourselves because it's there. The phrase, the cliché, that's used is "gold in the mind." It's there, we just have to figure out how to get it out. It's already there. I guess the contention is that if we can do that, and we can show people that we've done this, communicate it well, and show what these performance indicators are, then in the future we've got a much better chance of commanding that kind of investment, because we've shown, in terms of ourselves, that we are a good investment. That's what we have to do.

So we have to think in terms of a return on quality investment. We've got it captured ourselves.

MS. JUROW: Tom.

MR. SHAUGHNESSY: How do you answer the question, or the charge, that TQM is one more fad, that it, too, will pass away some day? It's in this long, distinguished series of faddish techniques, beginning probably with PPBS, and then we had zero-based budgeting, and then we had management by objectives, and then we had management by walking around and scratching our heads, and then we had cutback management, and now we've got TQM. Next week we're going to have something else and nobody's even going to know about TQM.

What do you say to that?

MR. SEYMOUR: Bull.

AUDIENCE: I agree with him.

AUDIENCE: I do, too. I just want to tell Tom that he's stepping on my paper tomorrow.

MR. GRUNDSTROM: I've got slides up in my room here, which I show when I get this kind of a statement. I throw four slides up that have about 15 bullets on them for the last 15 years, beginning with MBO and coming forward. If you want a movement of the month, we've got them.

That's part of our mentality of quick fix in this country. We also have not had a lot of patience with disciplining ourselves, and that's why we have these movements. The interesting thing is, if you want a global language, it's quality. Because no matter where I go, they're talking the same principles, the same key terms. I was asked to go to Bogota, Colombia about a year and a half ago as guests of the Attorney General's wife who was working with the hospital council to improve quality for the major hospitals.

The country is going to change; it's going to overcome its obstacles. The Japanese youth organization was there, teaching them quality, teaching Deming's principles. I think it's a universal language. I think it's shifting and getting a little deeper. Those naysayers who have had a hard time getting on a bandwagon are having a horrible time catching up.

MR. SEYMOUR: The American automobile industry is a wonderful example. I don't know if you know, but this year for the first time in ten years the American percentage of cars sold in the world increased. We have turned things around after ten years. If you ask Ford, if you ask General Motors, if you ask Chrysler why, they will tell you, "quality." It's their investment in this. So this really is the major paradigm shift of this century.

MR. GRUNDSTROM: For example, let's look at American companies like the semiconductor business where I kind of cut my teeth. In '86-'87 if you looked at the top semiconductor producers in the world, there were two American companies in the top ten; one was seventh and one was eighth; they were Intel and Motorola. In January '92, Intel was number one in the world and Motorola was three or four, depending on how you count them. It's the same with Ford overcoming Honda Accord in sales. The stories go on and on.

MS. JUROW: Chuck.

MR. HAMAKER: I'm Chuck Hamaker from Louisiana State University. This may be an old chestnut, and I apologize if it is.

One of the main things that research libraries do for customers is for probably anywhere from 20 to 50 years down the road. We collect certain types of collections and organize them for potential clients or customers that, literally, we don't know right now. We create storage systems that we have to worry about being viable 50 years down the road.

In the process of describing what it looks like there's a linkage between input, between the work you do, and the final output, the final client. We don't have anybody from 50 years in the future that we can interview, but still, this is a constant concern in research libraries. I don't even have a question here; this is a principle that I work with every day.

Let me give you a little narrower time frame. My math department came to me and said, "We don't need you to buy any books in mathematics. We want you to put all the money that you spend for us into mathematic journals." Well, we sort of swallowed hard and said, "Well, yes, let's take a look." And what we found was that they were, in part, correct. There is no book that I can buy today, almost no book in mathematics, theoretical math, that any mathematician on my faculty will have any interest in within the next decade. But when we looked at the use pattern of mathematical titles, research titles, it hits at ten years. After ten years, the stuff's tamped down in the literature, it's gotten a few reviews and they finally discover it.

They don't know today that, a decade from now, they won't need what we're buying for them. I don't know if that explains the problem or not, but I deal with this daily. You balance resources. You ask yourself, "How much do I throw into building that collection for a decade or 20 or

50 years from now?" I'm sure every research library here has collections that they haven't touched for 50 years, but they know they're significant.

MR. GRUNDSTROM: What you're describing, sir, is a beautiful functional silo.

MR. HAMAKER: Pardon?

MR. GRUNDSTROM: A functional silo. By that I mean, you're talking about your operation and then the people who are asking you to buy books. There's a need for you to get a better dialogue going between the both of you so that 50 years becomes a clearer vision from both of your perspectives. That's one issue.

The other issue is, when you look at the speed at which we are dealing with change, if you wait for the data to come in, you're following the power curve. It's history by that time. There's a certain degree of intuitive risk-taking that has to happen today, based on the best knowledge you have today. We also didn't train a lot of our business and organizational managers to deal with this: To be risk-takers, to make intuitive gambles of where we're heading. We tend to prefer to wait for history to get here and then say, "Well, we'll do that now." And it's oftentimes too late.

MR. HAMAKER: Too late?

MR. GRUNDSTROM: Right.

MR. McGRATH: You know, that testifies to a point that I was going to make; it's a follow-up on your observation this afternoon about doing the right things.

My feeling is that a lot of research libraries have to reevaluate and reidentify the fundamental premises under which we operate. For example, there's a lot of interest in interlibrary loan right now. I've been interested in it — and by the way, I was at USL down in Lafayette for many years —

MR. HAMAKER: I've read a great deal of your research that came out of your work there.

MR. McGRATH: Oh, thank you. We did some interlibrary loan studies down there.

One of the things that we found is that very few faculty account for most of the library use, and a very large number of faculty don't ever use the library at all. Yet, here we are spending enormous sums improving this wonderful service of interlibrary loan, of which very few faculty make use.

Now as a faculty member and as a former librarian, one thing that really burns me is that at the end of every semester when all the books come back from use, mostly undergraduate use, if they ever do get checked in, will sit around on book trucks for weeks and weeks and never get shelved. And here we are spending $150,000-$250,000 on interlibrary loan, a service which very few people make use of, and all we need is a few thousand dollars to pay some student shelvers to get those books back on the shelf.

Now there's a nice, neat, little equation there in terms of the cost of quality: Good quality isn't going to cost very much. I would define good quality service in the library as being able to find the book that I want every time I go into the library. Now how many libraries can guarantee that? Not very many.

MS. JUROW: John first, and then come forward from there.

MR. LUBANS: John Lubans from Duke University. In an earlier response, you listed some companies where quality had made a difference. My specific question is something I would ask in a cocktail party or something.

As we flatten the organization, and we in fact are doing that, things change, the division changes, leadership changes, decision-making changes, the reporting relationships may change and they evaporate. I'm really keen on finding more about this since we're struggling with this issue at Duke Library. We know of organizations that are similar to libraries, not necessarily not-for-profit places, that have addressed this leadership question. How does one work with a group of departments that now are teams?

MR. SEYMOUR: Could you repeat the question?

MR. LUCAS: The question is: Once you flatten the organization and you start to walk the talk about self-managing teams, the relationships at the very top with those teams that you want supervised have changed.

MR. SEYMOUR: Right.

MR. LUCAS: If you really mean it, you no longer assess on an individual basis. You no longer have the approval-seeking permission-giving relationship. I'm fairly sure as to what can be done, but I'd like to find out if there are other people who have sort of walked that path earlier.

MR. SEYMOUR: I should tell you that again one of the hurdles that I found in that study from last year was, how do you get supervisors to let go? And there's a flip side to that; how do you get those people who are doing the work to accept responsibility? Because it's a question that often doesn't get asked.

In many ways you can get less. There's a lot of people who have been beaten down, hassled to the point that all they want to do is go home at five o'clock. They don't want to be on a team, they don't want to do anything; all they want is their paycheck and to do their little job, and not bother anybody. That's all.

So there's that dual problem of trying to get supervisors to let go and at the same time, getting other people to accept responsibility. You keep hammering away at the most important issue for most people in organizations. When people leave from one organization to go to another it's not for more money as turnover literature shows. It is for control over your own work life.

And that's what happens when you flatten an organization. If your supervisors take on the role, not as controllers, but as facilitators, then you have teams that are in place to, in fact, control and improve their own work life. And that's what you're moving towards.

MS. JUROW: Right over there.

AUDIENCE: I may be shifting the discussion in another direction, so if some others want to continue on this trend, you could come back to me.

MS. JUROW: Susan?

MS. BARNARD: I'm Susan Barnard from Kent State University.

What turnover literature are you referring to? Is this a broad spectrum of blue collar workers, professionals, academics?

MR. SEYMOUR: These are studies by Stears and Mowday, at UCI and the University of Oregon, that show consistently that people don't leave jobs for more money. That's not the key. In fact, the top of the list consistently is that people want more responsibility; they want to have an effect.

MS. BARNARD: And that's people at all levels?

MR. SEYMOUR: I'm not certain. I'm not certain what the sample is.

MR. GRUNDSTROM: I think there are also some issues of burnout in our culture that might impact those numbers. I know a fellow in Arizona who is doing some work with IBM's research group; and some of his concerns are about innovation and creativity in organizations. The studies he's done indicate that a lot of the innovative and creative people needed to save the institutions are leaving and starting their own or joining others.

So there's a very serious drain on the capability of an organization to adjust to some of the challenges they have, because the people with the creativity to solve the problems are burning out and they leave.

MR. MARCUM: I want to interrupt in for just a second.

MS. JUROW: Go ahead.

MR. MARCUM: Your question about the choices in the way we spend money and the way things get done, and one or two of the other questions have touched upon this, but nobody has put it out on the table; I think it needs to be out on the table.

I have a question because Richard Taber Green raises it in *Global Quality*, and he raises the question of professionalism as one of our major problems in the way of achieving quality. It teaches specialization, it teaches narrow viewpoint, it teaches that the professional knows how to do it and that the user is supposed to come to you and you tell them the right answer, and they go away satisfied; but that's not the way it works. And I think this is going to be one of the central issues for librarians. Is this the case in other areas?

MR. SEYMOUR: Yes. On the back page of *The Chronicle* not too long ago, Don Langenburg, who is the Chancellor of the University of Maryland system, talked about team scholarship. Are you familiar with that?

MR. MARCUM: Yes.

MR. SEYMOUR: And how the individual reward systems have to move that way.

MR. MARCUM: Green talks about group Ph.D.'s in Japan, that one of the reasons that Japan is successful is because they're getting away from specialization. For the teams to work, they can't just be departments. They've got to be set up a different way.

MS. ELBAZ: Sohair Elbaz, IIT.

I believe that the way to resolve the question regarding the management giving up when it thinks that teams will take over and the managers are no longer able to handle the organization in the perceived normal way that has developed over time, is to understand that teams control processes but they don't control financial matters and policies. Those are two important things that teams do not control, and those things are under the control of the council, whatever its name; the quality council or the top administration. Not knowing that is what makes people sometimes confused about "if a team is going to change everything what am I supposed to do as a manager?" And this is really a very important point to make; the difference between team management and the management of the organization.

However, I do have a question. We have had a very successful experience at Illinois Institute of Technology Libraries. We came to a compromise in October when we had to do the performance appraisal, because the university was not ready for that yet. For that reason, I have promised my staff that I will not do the performance appraisal the way it is usually done.

What I did to satisfy the university is that I gave everyone the same percentage. So everyone got the same percentage; there was no merit or anything of that sort. Everyone got whatever, the three percent, and later on we filled that performance appraisal, it's a six page book kind of thing, filled it with whatever — everyone has written the same objectives, we just circulated one booklet and everyone filled it the same way.

Later on, when the human resources department called me, I said, "That's not going to work." And they said, "It's going to work this time, you have to take it." And we took it, and we have to another review coming up, and they tell me, "You are not going to do the same," and I said, "We *are* going to do the same," and we have a tug-of-war between human resources and the library.

Anyway, we came to a middle ground where we eliminate, just for the library personnel, the ranking, all the stuff that has the behavioral elements and organizational elements, and we put the objectives as team objectives and things of that sort. We took that as a middle ground between Total Quality Management performance, which does not exist, as Deming says, and we didn't take the university one. I don't know if the middle ground is something that we can work with, until the university comes to actually forming that.

Would it work? The middle ground, as a part of TQM approach?

MR. MARCUM: You're asking me?

I think we're all searching for solutions to that, and that's what I'm trying to get at in my paper.

I think so. I think we're all looking for solutions here. I went to what was, basically, a feedback clinic and asked the following questions: What are you doing? How do you like it? What can I do to help you? What do you not like? And just a whole series of things like that. But with no ranking, nothing of that sort. Fortunately, I don't have to in our little institution, but those of you who do have to do some ranking, that's going to be another of the big points that's got to be dealt with, because that's totally destructive of systems work and teamwork.

MS. ELBAZ: When they asked Mr. Deming about it, he gave two answers.

The first one he said was, "Just hire the right people." But, number one, how can I fire the people that I have now, in order to hire the right ones? And it doesn't work, except to just to fire everyone in the university and rehire only the ones that we want.

The second thing he said is something completely wrong; it's like someone who is hitting his head against a wall. Instead of a wall, you are giving him a piece of wood. So you don't have to find an alternative; just eliminate it. Again it gets into the legal issues when we try to get rid of someone. He told me personally, outside the group, that in Japan sometimes when an employee doesn't perform — for instance, in Mitsubishi — they promote him, because maybe he thinks that his job isn't challenging enough, so they give him a promotion and more work, and they keep him on. I don't know where they go with that; I think most jobs in Japan are guaranteed for life which would not work in the United States.

MS. JUROW: Let me go to the back there and then over here. Go ahead.

MS. NITECKI: Danuta Nitecki, University of Maryland, College Park.

I guess one of the areas I'd like to address is an area that a number of staff will comment on — the relation between the profit and non-profit environment.

Specifically, though, what I would like one of you to address is the relationship between the customer as the recipient of the service and the finer quality and the customer as provider of the resources. So in other words, the example in business where the satisfaction the customer can receive has a direct relationship with your resource-building as, presumably, the customer is buying more, the business is making more money.

Whereas in the non-profit, that relationship is a little more distant at times; particularly in our setting where, as I think you mentioned, the majority of our users are undergraduates and yet, in some ways, they do influence the revenue coming to the university. Yet, they are not directly influencing the allocations of that revenue once they are in the campus.

I'm wondering if someone could address that distinction between the role of the customer and the return of resources to run an operation.

MR. GRUNDSTROM: In the marketing literature — my background is as a marketing professor — they talk about customers and then they subdivide. Look at the different roles. You could be an influencer. Take a family with a small child. Cereal. Walk down the cereal aisle with a small child. There they are the influencer, they are the user. They are not necessarily the decider.

There's a whole bunch of different kinds of roles that different people play. The knee-jerk notion of a customer as the person who buys and uses the product is really not as sophisticated as we need. But in higher education, as you suggest, there's certainly a lot more complexity and sophistication. We have to think about it. We just haven't ever thought about it. We have to think harder about it.

MR. DAVIS: Well, I think it's very simple. As I explained to my staff, that student out there is an alumni, a taxpayer — so you're not looking just at a student, you're looking at all of those things as they pass through and come back around to where you have to deal with them.

MR. GRUNDSTROM: One thing that concerns me about what you said is that they may be distant customers. If they're distant and I'm not talking to them, that would concern me, because I can't get a sense of what their requirements are.

Also, I think you would have groups of customers that you probably provide for and you could have light groups where their requirements are similar. I was asked to review a quality effort of an educational institution a year or so ago; they listed their customers, and the one thing that was missing on their customer list was "student." They had parents, community, state regulatory control groups, business leaders, those kind of things listed. They didn't have students on the list. But if they didn't have students, their doors would be shut.

It's an interesting discussion to get into — "What is a customer?" and "Who are customers?" But those are the things that should drive your performance measures, if you can define them.

MR. ERICKSON: Ed Erickson, Black Hills State.

I understood the question back here just a little differently, though. I understood her to say, that you certainly develop and work hard to get a quality product so the customer is satisfied, but then how do you drive the rest of the institution so that the allocations come to the library and so on? Having worked hard to achieve that kind of result, what do you do to get that back to the library? That's how I was hearing it.

MR. GRUNDSTROM: Well, again, if it isn't coming back to one, if they're not being integrated somehow, then you've got the functional boxes between the operations again. They see themselves independent of each other, not interdependent on each other.

AUDIENCE: But I guess the question is, it's a model — and I realize we're into it more and there are more government agencies and areas where this pattern may exist. But somehow the model, whatever it's related to, is a successful one, it's typically in a profit-making environment where, somehow, the currency of exchange is clearer; there's money involved, the customer has a clearer way of either influencing, or directly being able to influence, the allocation coming back to the provider of the service.

I think in our scenario there's something that doesn't quite seem to fit, and I'm wondering if, maybe by example or other experiences which have been successful, there is another way of presenting them or discussing this so we can see what that relationship is. Or is it simply that we have more layers of customers to deal with?

MR. GRUNDSTROM: I think hospitals are getting closer into some of that. Veterans Administration hospitals are trying to clean up their act, and they're implementing massive quality stuff trying to improve patient care, obviously, and reducing costs and working within. So I think there would be some good examples that we could draw on.

AUDIENCE: But still the better the medical care, at least in our current health structure, the more money comes back to the hospital. If you're providing better library service, you will get more customers. You may not necessarily get more resources.

MR. SEYMOUR: What you're asking, and I had this discussion yesterday is, "What's the incentive?" In other words, if I go through the process and I save $50,000, they take it away from me. What's the incentive for me to get more efficient? What's the incentive for me to be more effective? It's a very good question.

Let me just tell you a little story, and I think this is the way it works. This is not necessarily a quality story. About five or six years ago when I was Assistant to the President of the University of Rhode Island, I remember a chemistry professor who came in to see the Vice President, and wanted $15,000 or $20,000 to help him put together an online, interactive chemistry tutoring program. Of course $15,000 was a tremendous amount of money in terms of discretionary funds, and there was a great deal of wrangling and bitterness back and forth over this. Finally, the chemistry department got the money.

A year later, that program was written up in *The New York Times,* because he had put in place, right off the bat, a set of performance indicators that showed how much they were learning under the old system, what the added value in terms of the cost involved, that it took to put this in place. The Board of Governors came down to see this and he walked them through it. The next time he walked into the Vice-President's office and wanted money, they just gave it to him — they just threw it at him.

So there's a certain amount of the fact that we just don't do a very good job of articulating how what we do is successful — you know, how do we define success? You have to answer that question yourself. How do we define success and how do we communicate success? If we get better at that, I believe the money will come our way.

MS. JUROW: I want to move to the question over here.

MS. GORDON: Heather Gordon, Duke University.

One of the questions that management often gets from the team members when they introduce self-managing teams is, "Okay, if we're going to be making decisions, why do we need senior management? What are you guys going to be doing now?"

I was reading Peter Sange's book, *The Fifth Discipline*. He makes a case that there is a place for senior management, but their role is to develop learning processes, to get shared vision and shared decision-making among the staff, and that their job is to view the library holistically, to see it as a system, where teams often can't, because they're so involved with their team work processes.

I was wondering if you have seen any examples in industry where this, in fact, has happened, where a company has flattened their structure, gone to self-management teams, and still retained, let's say, people at the vice-presidential level: What do these people do now?

MR. GRUNDSTROM: A couple quick examples, both from my experience at Motorola, then I'd like to go back to non-profit training issues. In the cellular phone business, in a plant in Arlington Heights and in a few other locations around Chicago, where plant managers continue to deal with breaking down barriers of other functional departments that support manufacturing, there are teams that were trained in quality and SPC document or data collecting, et cetera, who can actually stop the production line when it starts producing garbage. This way they can make sure that the product getting shipped doesn't even need to be inspected; quality measures are built into the way they manufacture it. If you walk into the facility, you will see the teams huddling, having a five-minute meeting, checking data, adjusting the machines, going back and doing something else.

The Ritz-Carlton, that won the Malcom Baldridge award, could be another example. The Ritz-Carlton has cross-trained everybody on functions, so that the doormen could actually walk up and register somebody at the desk and bring them to their room or do other things. Cross-training allows them to deal with giving people time off, somebody is there to cover it. It gives greater flexibility, a feeling of pride that each employee can do more things, guaranteeing a job and a future, perhaps.

One department that I was working with was handling education and training logistics. We had four managers, and they were all hiring their own clerks and secretaries and logistics people, and they were offering training programs in the Chambourg area. It could be Class A, and each of them would have a need for Class A during the week, but because they weren't talking to each other, they would wind up short. So they'd wind up canceling the courses that they had going on in the same week, because they didn't talk to each other.

Put the team together; streamline a process; tell the managers their job is not to manage the logistics anymore, their job is to go out and deal with the customers on what they need for training and education; and to deal with the strategic end of it, set up a logistics team to manage the logistics. Put four people on the team. Put them in a U-shape where they could hear each other and give them the challenge that if they could handle the effort and cross-train each other, they could have time off as long as they covered for each other and didn't tell me.

The team became very effective. It was a nice perk; they enjoyed working with each other. They went from trying to run ten programs a month to 68 in three months. And we put a 6-sigma performance on it, and we started measuring the impact to the bottom line. They developed strategies, identified the customers, developed a strategy to provide training to improve a behavior, and then measured the behavior change and now management is saying that for every dollar invested in that effort, they get $32 back.

But you have to discipline yourself to get to that point. It was a painful one. You mentioned the story about being in Hell. I've been there a couple of times. Some of this quality effort is just like being in Hell; you get beaten up. I think the other important thing to realize is you're going to make mistakes and it's all right, because you're not trying to take the perfect system. You're trying to retrofit something that may not make sense all the time.

MS. JUROW: You've been waiting a long time.

MS. THOMASON: Jean Thomason, Samford University.

When we talk about flattening the organization, it seems to me at the same time we are worrying about protecting vice-presidents and department heads and the two are inconsistent. I think if you are going to really flatten an organization, if you don't need the department head, you let the position go. If you don't need the vice-president, you let that position go.

We flattened our organization almost three years ago; we no longer have department heads. Now we're a very small group and we simply didn't need them. A good leader who becomes a facilitator is needed and needed badly. But I don't think you can really talk about reengineering an organization if you're holding onto the positions.

MR. GRUNDSTROM: Well, a lot of organizations didn't have the staff for the flatter organization. A lot of companies had 18 layers in 1982, from top to bottom; and you'll see that existing in some government agencies that are now trying to figure this out. But, when they had to go down to five or six layers, they didn't have the leadership to run holistically, because they were trained very functionally, and that was a problem.

MS. JUROW: Yes.

MR. MERIKANGAS: Bob Merikangas, University of Maryland at College Park.

I want to bring in another aspect of it; we're talking about all of these structures and ways of operating and so forth. One of the realities that we deal with is that much of our basic day-in, day-out work is done by student assistants working a few hours a week on a very irregular basis.

What has been people's experience, in industry or anywhere, incorporating that factor in a situation?

MR. MARCUM: Well, what you want to do is reduce variance, if you have students in there. So what you want is a foolproof training system, period. That's it. You want it so simple, so straightforward, that if you put anybody in that system, they can do the job properly.

And of course they can't do that. It is again coming back to what we talked about, it is management's responsibility to identify that as a critical process, something we need to pay attention to, something we need to monitor. How good is that training program? We don't put it in place and walk away from it. We put it in place and someone owns it, and we have performance measures so we can continuously improve the training of those people.

MR. GRUNDSTROM: I think a similar example would be temporary workers. A lot of private industry uses temporary workers, and when they got into this team-related functioning they had difficulty making that transition so that the temporary worker felt part of the team. In many cases, they had to establish tighter requirements with the agency that provided the temporary worker, for screening and preparing and training them for that work environment. I would probably consider — and it just supports the issue of training — doing that same thing with interns or temporary students.

MS. JUROW: Chuck.

MR. HAMAKER: Just back to the resources question again. Higher education generally is not in a system, right now, where you're going to get human resources. Most of us, what we're dealing with is resource reallocation or a declining resource base. And why I'm here listening to you is that I need to figure out how to survive with a declining resource base. I'm not even asking the question "If I do it better will I get more money?" That's the wrong question. It's "How do I do it better with less money?"

MR. GRUNDSTROM: How do you survive.

MR. HAMAKER: How do I survive? That's correct.

MR. GRUNDSTROM: Another question might be, do you need to?

MR. HAMAKER: I may not need to.

MR. GRUNDSTROM: I'm not being personal, but do you provide a product and service that is contributing value to whomever?

MR. HAMAKER: No, actually my job at my library is to make myself redundant. That's the truth.

MR. SECOR: John Secor from Yankee Book.

I just wanted to go back to Tom's question, and also I think to John's, and say I'm glad that someone finally mentioned the word "training" because I sense that we live in a period where, present company excluded, consultants are telling us what we should do and what we have to do, and they don't tell us how to do it.

There are a lot of requisite underpinnings that are necessary to bring in a TQM program, and you really don't hear it. So he did mention training; that certainly is one of them.

Going back quickly to Tom's question, "Is TQM a fad?" and I would throw it out on the table that TQM, as commonly practiced is window dressing, and therefore fails and is a fad. It's creating problems for those programs that do have the requisite underpinnings and are on a path to success, in the sense that they're being tainted.

In terms of the teaming, I have a similar view on self-directed teaming. Again, all too often, we rush into it without all the requisite underpinnings because a consultant, or *Fortune* or the *Harvard Business Review* or what not, says that we have to get into self-directed teaming.

I'm not going to say I'm a fan of bureaucratic organizations, but they do have a purpose, and I think if you're going to dismantle them, you don't blow them up. Again we don't hear that it takes a lot of time. We hear that overnight we're supposed to tear down the bureaucratic organization.

So from a teaming standpoint, I think you're into a slow process of bringing the teams together and going back. The training issue — there is tremendous training that has to take place. One of the gentleman, when the question was asked about TQM as a fad, brought up a number of Fortune 500 companies and the auto industry as examples. I have 175 employees. I would say that there are tens of thousands of companies in that range that are not implementing teaming properly or TQM. And yet as examples we get Fortune 500 companies, which have the resources to bring to the training, have the human resources department to bring into the issue, and I never hear discussion about that.

MR. GRUNDSTROM: Bringing those groups in?

MR. SECOR: Requisite underpinnings necessary.

MR. GRUNDSTROM: Yes. They're very critical. I've asked if I might use the flip chart. I'll not make this long if I can help it. I get real excited about flip charts.

There are probably tons of good examples of little companies that are doing well; and there is a classic one for me. I was up in Borger, Texas, with a little company that makes black carbon for tire industries and others. They had 144 employees in 1985 and were losing market share quickly. The plant manager and the other executive team — there were six of them — made all the decisions about the company. When they started realizing they were going to die, they started backing off from making the decisions and went to the employees and said, "We think we need to change the way this operation works. We don't know what the heck to do with it. We really need your help."

By 1992 they had regained not only the market share they had lost, but it went up about 300 percent; and they had 88 employees and never laid anybody off; they just let them fall off, turn over on their own. But his comment to me was, "We didn't know what Deming believed, we didn't really know how to read and write up here, we just did our thing, but we figured we had to start doing things right."

He said, "I made all 88 employees decision-makers and told them, 'Here's $1,000. If you need $1,000 or any part of this $1,000 to fix the things on your job, go do it and don't ask me.'" And he said they never spent a thousand bucks. But instead what started to happen was that the employees are owning the improvements and he said, "We're doing pretty well, and we're going to survive, we're going to make it."

But back to the issue of training. There's an organization change model you're going to get tomorrow with me, and I'll go through it quicker tomorrow.

Organizational change requires four to five different things. It requires asking, "What are the critical success factors or issues with my business, or my organization, that I have to fix?" Once I define those things, then I look at a couple of other things. I look at what's the culture and the environment in which we live and breathe. Culture, environment, the libraries, the hospitals, the non-profit, the profit — I don't care what they are; they all have a culture and an environment functioning.

It could also have something to do with location of facilities: centralized, decentralized. It could have something to do with the type of employees: senior citizens or young kids coming out of school. That's all culture, how we behave and interact. That's critical because I can't take what the Japanese did and lay it on my company in Peoria, Illinois; it won't work. Different culture. That's why quality circles failed.

Then I'm going to look at the structure, and the process by which we're going to manage change; how we can organize our teams, how we're going to communicate, how we're going to make decisions. An example of where it broke down with a group is that supplier to NASA, where there was no structure to manage the input for improvement. There was nothing there to make it happen.

The final thing in these three is, "What are the behaviors/skills needed in the organization to survive?" When we need to do something and how we behave in order to deal with this critical factor up here. This is where a lot of companies go wrong on training. As they start training, before they understand any of this stuff, they waste the training. It goes right down the tubes. IBM spent three percent of gross sales since the time they started, probably, and they had a heart attack two years ago. They weren't ready — the business had changed, and the training hadn't supported that change, because it hadn't connected the training and the behaviors to the issues of business.

Then when you get down to the bottom you're going to make some continuous improvement on the process, and this should equal that, but when you get all through with it, guess what? You start over again because you've got somebody else that just moved in with new technology. So I think you're right; you have to deal with the training issue. It's a big issue, but it needs to be the right issue.

MR. SEYMOUR: And if you don't, this is what happens. I was at a hospital not too long ago — here's a good story for you — that spent $30,000 on the Juran Institute, which they were involved in. This is what hospitals are doing now, so they all trekked off to the Juran Institute and spent their money.

They came back, they set up the requisite quality council, and proceeded along their way. They spent six months looking for a quality director, sort of thinking about whether they're going to do some projects. But in the meantime, several weeks ago, a seven-page policy came out, a seven-page policy that told you how you could get terminated from this hospital.

I wish I'd brought this, because you would have been surprised. It was from the Vice-President of Human Resources and it was a point system. It was policy number 4812-2, and it had seven or eight different parts: major parts, subparts, part 2, part 2-1, all the definitions. It was a point system. I think it was nine points and you got terminated. If you showed up five minutes late you got a half a point; if you did this you got another point and whatever. They spent three pages showing you all different combinations and scenarios as to how you could get terminated. These scenarios included dates. The first time you just got sent to "bad person school" or something. The second time, perhaps, you got a written reprimand. And then thirdly, you were suspended. And then finally — as all the examples ended — termination.

So a friend of mine, who was the Director of Pathology, was off, came back after a couple of days, and his entire staff, the secretaries and many of the other people were going bonkers. They were going nuts. They, literally, had people there that were in a great deal of distress; and in fact, the very next day the physical plant people decided, as part of the capital work, to repave a parking lot. You know where this is going already. It was the major parking lot where many of the people parked every day. They put up their little yellow signs and said "Park over here" or whatever. Well, you had secretaries jumping and tearing off heels and going over water sprinklers to try to get to work and there were people that accumulated enough points in one day to be terminated.

So my friend goes to the Vice-President of Human Resources and says, "You know, this is a real problem." The Vice-President says, "Well, this is a lax place, and everybody knew it was lax and it was time to tighten the screws." My friend said he understood and then went to speak to the CEO. He goes through this entire scenario talking about the chaos that this policy has created in his unit, and the CEO says to my friend, "I don't get this. You're on the quality council. That meets on Tuesday. This came out of the executive group. It meets on Monday."

They never made the connection. The knowledge development has to come first. You really have to understand why you're doing this, why it's important, before you do the training, because otherwise it's like uncooked spaghetti being thrown against the wall; it will not stick. And you need this to stick, because if it doesn't stick you get this sort of problem. So, at this particular organization, they asked me about various things and I said, "Save the money for the next two years, because you have killed it." That simple act.

That is because part of all that was put up here is based upon trust, and it's something that really isn't talked about that much. If you don't have that trust, it won't work and they killed it, right off the bat. All of their training, their $30,000, their national search for a quality director, is worth zero. No one believes them because nothing is really changed.

MR. GRUNDSTROM: Another thing, about the culture of an organization: I sense with this group that there is a great sense of pressure and urgency to change things, yet at the same time, we're feeling that we're in a structure that's going to be awkward to change. We're not focused, we're not sure what we're doing. Put that in a scenario or say that that organization is a teapot or something, and you're really just turning up the heat on it, and it's starting to boil. I'm not sure if this is true.

I know that the U.S. Post Office has a lot of competitors out there. There's no guarantee that it needs to survive. A lot of the services you can buy private may fulfill our needs. But if I was the Director of the Post Office and I said, "We're going to go talk to customers and start doing two day priority mail for $2.90, we're going to compete." This is because we decided this is what our customers want, because of some focus group analysis. Therefore we will do this, but we don't clean up the structure. That isn't adding value; we just put more demands on the organization.

This happened to me in other companies. The pressure builds up on employees to the point where it seems extremely impossible to fix, because there's no simplification of processes or, even, identifying the processes you need to fix. They just started adding more on top of it.

It happened to us in Motorola. We put 6-sigma demands on our engineering labs. The traditional engineering manager said to his or her young people, "Go forward and do this, we're going to get the 6-sigma on this stuff." They knew the designs were so complex that there was no way in heck you could get the 6-sigma without simplifying the designs, but weren't told they could do that.

Guess where it surfaced. Guess where it showed that we had a problem. In employee assistance. Going for counseling and therapy and stress-related problems. We had put the pressure on to that point, but we hadn't simplified the process.

You have to hit it from all angles. It's very holistic, and you shouldn't take it too seriously, take it kind of like life. You're not going to get out of it alive anyway. Roll with the flow, be patient, love each other, make mistakes.

MS. JUROW: Why don't we take one more then start to wind this down.

MS. MARSH: I have more of a response. I'm Sue Marsh from Harvard Business School.

In one of the public service areas last year, we introduced and started looking at quality and continuous improvement. In the cross-training that we were doing in that particular department, we were including student assistants. We were treating them both as employees that we valued that we would get feedback from, but we also were treating them as customers. So we were having them give us what was right and what was wrong with what we were doing, both with the training and with customers.

A couple of weeks ago one of our student assistants who is an undergraduate greeted someone who came into the room. The person was from another university, they were just there for two days and they had never been there before. The student, not knowing I was listening, said, "Oh, you've never been here before. Let me tell you what we have in the room and what services we have to offer; or, if that's not what you want, is there something in particular you're looking for that I can help you with?"

This is someone that's a student, we pay him $6 an hour and he's there's five hours a week. It was just amazing that the training had reached that level, that he was comfortable and was perfectly able to handle this person and give them what they wanted. So it works. It works for part-timers and students. Quite rewarding.

MR. McGRATH: I'll make this quick. I'd like to tell this story, though, if I may. I think you'll be interested in this.

When I got interested in "quality," I went to the library and I looked up quality in the card catalog (before we threw out all the card catalogs).

I looked up Juran's *Quality Control Handbook*. Wow, the library had it, a 1970 edition. So I went down and took it out. It hadn't been taken out for years. I had it for three weeks and I got an overdue notice.

Now you know how big that book is. Have you ever seen it? It's about that thick and it weighs about three pounds. I kept it a little bit longer than I should have, so when I finally brought it back to the library, my borrowing privileges had been suspended. I said, "All right, I'll pay the fine." But I had to go out and buy the book because the library said it already had the copy. I had to go out and buy a 1992 edition for $75, out of my own pocket. That's why the faculty doesn't use the library as much as you think they should. They find all kinds of other ways to get these books. And they told me, "Well, that's the rules."

So my question is: How do you make quality the agenda, instead of an item on the agenda?

MR. SEYMOUR: By removing the other ones.

MR. McGRATH: By removing all the

others?

MR. SEYMOUR: Sure. If I establish clear definitions of what I do in my life and who I serve, the measures of my performance are quality measures. I don't have organization measures and then the quality plan. When there are two sets of measures or plans, you usually throw one away when things get bad. I know businesses that had a quality plan and a business plan. When the business went south, the quality plan went with it. And they said stupid things like, "Let's get out of this quality stuff and get back to business."

So I'm being short when I say make quality your number one priority; but I think that to an extent, it is a way of life, it's a way of thinking.

Let me ask you all a question. How many of you are customers? You can participate in this, okay? Go back five years and get a mental picture of yourself as a customer, and come up until today. I'm asking you one question. Are you a different customer today?

AUDIENCE: Yes.

MR. SEYMOUR: Describe how you're different.

AUDIENCE: Expectation.

MR. SEYMOUR: Expectations?

AUDIENCE: Quality.

MR. SEYMOUR: Quality.

AUDIENCE: I give a lot more feedback.

MR. SEYMOUR: Okay, you fill out those forms.

AUDIENCE: I tell them to their face. I go find their manager.

MR. SEYMOUR: All right. But when you said quality, what do you look for in quality? Speed?

AUDIENCE: Accuracy.

MR. SEYMOUR: Accuracy.

AUDIENCE: Knowledge.

AUDIENCE: Exceeding my expectations.

MR. GRUNDSTROM: Yes, I want to be delighted, right?

AUDIENCE: For instance, this hotel — maybe this is common, but I don't stay at big, fancy hotels that often — gives me a card to put on my door if I want a complimentary *Washington Post* in the morning. I never would have expected that, but my impression of this hotel went up about 200 percent just because of that little detail that they offered.

MR. GRUNDSTROM: Now, if we went around the room, we could identify criteria for your definition of quality. It would have something to do with cost, time, and then quality around how I get my services or product. Then we would say something to the effect of, "Do you have and maintain loyalty to an organization that does not meet those expectations? Or do you switch to someone who does?"

You switch. Most of us will switch. We're a lot more educated as consumers, we change directions quickly based on our own definition of quality, and it's something you and I personally understand; we oftentimes have difficulty transferring that into our work, but it's the same principle. You expect different things today than you used to. Automobiles are now driven 100,000 miles; American cars get 100,000 miles. I didn't know that until I had to drive one that long. But this is a real shift in thinking.

MS. JUROW: Dan, do you want to —

MR. SEYMOUR: Well, the question which you have to keep coming back to, which we always keep losing track of is: What is the aim? You just keep asking that question: What is the aim?

Earlier today I went off on some tirade about jails and stuff, but that's a good example. Ask yourself, how do you define a civilized society? I mean, where we really want to live. In that kind of society, how many jails would you have?

AUDIENCE: None.

MR. SEYMOUR: Okay, if that's the aim, then explain to me how you get to no jails by building a whole bunch more? We've lost the aim.

The story which has been told over and over again, I hesitate to even repeat it, but it's the Robert Galvin story. At some point, after a whole bunch of other kinds of things, he came to the point that in their four-hour Monday morning meeting, the financial types and all of his major people, he got to the point that he took the quality stuff and put it right at the beginning of the agenda, before all the number crunching stuff which he typically would have paid attention to. After the quality stuff was over Robert Galvin got up and walked out the door and left the other people to crunch the numbers.

What is he saying?

AUDIENCE: "I trust you."

MR. SEYMOUR: "I trust you" and he's saying the most important thing in this. What is the aim? He was telling everybody in the room that quality is the number one issue, and that's where he had to be.

So what Bill was telling you is this: They all fit together. It's a lifestyle consideration; it really is.

MR. McGRATH: So that's what we have to do here; we have to understand. We have to reexamine our fundamental premises? We have to know what business we're in?

MR. SEYMOUR: Sure.

MR. McGRATH: Maybe we're all in the wrong business.

MR. SEYMOUR: Look at the Baldridge, look at the values that underlie the Baldridge. Take a look at and study those.

MR. GRUNDSTROM: I think you're in one of the most exciting businesses there is right now, and I don't know how we can fix it, but I think you need to try. I said this earlier to somebody: What we're seeing is, we went through the agricultural revolution and it took, 826 years and two weeks or something. Industrial revolution, 200 and something. Which one do you think we're in now? Information. They think it might last 50 years.

What's your business? Your business is information. What's happening out there? We're talking about superhighways and road kills. Or I got zapped in somebody's email.

But this is a very important time. Tomorrow I'm going to hit on some — this isn't a commercial for tomorrow — benchmarking, performance measures, that kind of things, and if there was a way we could tap this resource, I could send companies towards you who would pay for your service, because they're trying to find it on their own, and you're trained in doing research. There might be a new market for you, beyond the blinders.

MS. NITECKI: I think that question about the library book really captures a lot, because the system is automated. So there's no way to know from the library point of view who has the book; that's not the issue. The issue is, the system's automated, it clicks up when the book is overdue, the notice goes out, there's no way to catch that notice and say, "Gee, this particular book to this particular person need not come in." So given that the system works that way, what is the correct response to someone, then, who says, "Hey, my book!" and how do you solve his concern which is, "I feel like the library ignored me"?

AUDIENCE: I'd like to respond to that. When you read, or you look at all the agreed-upon definitions, not the definition of quality, you have to define your problem; you have to use your supplier inputs and your customers. One of the customer inputs that you would have to define within your own system when you're building is that the book may — I'm not saying this is what traditional libraries do — not have to come back before someone else requests the book. Maybe that can get built into the system.

I have the same problem, and I had one of the faculty say it's cheaper to buy a book for every student who wants it than to put the book on the library shelves. And that this could be really a more economical thing. But the usual requirement here — the book is big, 500-600 pages — is that it can't be read in a week or two weeks. Maybe you need to make six weeks, maybe you need to make it eight weeks. You have to revise that kind of policy and build it into the system.

MS. NITECKI: But you get back to your customer, then. We have a year long checkup with faculty, and our biggest complaint is students saying, "Why did the faculty have these books for a year?" So you've got faculty saying, "We must have them for a year because of our needs, we work with graduate students."

So we have two customers competing, with what appear to be competing needs. What would our response be?

MR. GRUNDSTROM: First thing I'd say, you have two classes of customers, and it's only going to irritate me when I'm not the first class. If I signed up for the service without understanding that differentiation, then you've pulled the hood over my eyes.

But if I'm understanding my requirements in the difference in class, that helps, maybe. The other thing is, maybe your product, which is availability of books, isn't meeting the customer expectations in some other shape or form — not enough books.

MS. NITECKI: But we can't throw money at it — that's out. We can't buy more books because we've already said our resources are down.

AUDIENCE: You buy some books that no one checks out at all.

AUDIENCE: You may have books that nobody uses. Maybe buying selection ought to be different.

MR. SEYMOUR: But this is a design issue, okay? And in a design issue, part of that is benchmarking. I'll bet there are people right in here that know the answer to the question and have built a system which is appropriate. It may not be the one for you, but I would bet that if you define the process and define the problem and understand the parameters and then look for best practices, there's no sense in you, sitting there, by yourself, on your own, trying to invent this system which is going to be. I think there's probably a lot of people here that have done it.

MS. NITECKI: We've gone out on listserves and asked this question over and over again. I have yet to hear a library come up with a very good solution for balancing faculty-student needs when it comes to the collection and the time; you know, the time they both get these items.

MR. HAMAKER: You may not like the answer, but we have a recall system.

MS. NITECKI: Oh, we do too.

MR. HAMAKER: And the faculty can keep it past — we give them a little grace period; and we can buy another copy.

MS. NITECKI: We have that, but I guess that puts the burden on the student to recall the item.

MR. HAMAKER: Well, I mean, faculty can recall from a student.

MS. NITECKI: Yes.

MR. HAMAKER: We have about a two week turnaround time.

MS. NITECKI: What they're saying is, when they go to the shelf, they can't even browse half the time because they don't know what they want; they just know they want something on total quality, and half the books are gone.

MS. JUROW: I saw one more hand back in the corner over there. Let's finish off with that question.

MS. BELLANTI: Claire Bellanti, UCLA.

I don't know if I can finish it off, but I just wanted to say what I think. I just want to say that I see this as a slightly different problem. We do have two competing needs here, but also, I think somebody mentioned earlier a competing mission. I think there are really two competing missions, even more than just customer needs.

We have the mission to make the information available to everybody, and we have the mission to protect and preserve and maintain that information. And I think that's where our problem is. I think we have to find — I hope that we can find — ways to meet both of those missions with information availability in other forms. I think it's largely getting the information that people really need to them that will make a big difference.

Just to answer your other question, "What do other people do?" We went to the faculty senate and said, "We would you like to let you have books for six months; they're recallable; and in six months you need to renew them if you want to keep them any longer." We do have faculty that have completely agreed with that, but we also still have faculty who have trouble with the rule.

I think that it's a matter of working with each and every individual person when it happens with them, and in talking to them and finding out what their particular needs are and working it through with the individual. I have no other way around it, but that works pretty well for us.

MS. JUROW: Jim, if you wanted to —

MR. MARCUM: A word about books; I want to commend some people that did bibliographies for their reports that you'll find in your workbook. If you haven't gone through it carefully, there are several that — or there are a few, at least — you would want to know about.

The team from Penn State doing a presentation on organizational structures has a good bibliography on self-managed teams. Tushi from Mankato State, a good bibliography on benchmarking, and Ataclair Evans from Wayne State, a very nice bibliography on quality in higher education back. I was a little surprised we didn't have more of those.

MS. JUROW: Before we close for the evening — tomorrow at lunch we would like to have talk tables, tables of eight that will allow people to talk about specific topics. If you could sit down and talk with some folks.

Are there issues around circulation? Are there some topics that you would you like to just be able to sit down with some of your colleagues and talk through? Anybody got some stuff they'd like to deal with that way?

AUDIENCE: Performance.

MS. JUROW: Performance appraisal. What else?

AUDIENCE: Training.

PANEL: Facilitation.

MS. JUROW: Facilitation, training.

AUDIENCE: Flat organization.

MR. HAMAKER: How do you get less quality? Sometimes you're getting too much quality; how do you get less quality?

MS. JUROW: Okay, less quality.

MR. McGRATH: I can talk about SPC.

MS. JUROW: SPC. Anything else?

MS. NITECKI: Back to something that somebody mentioned, what about the experience? People who say they don't want to be a part of that, I realize ultimately that —

MS. JUROW: Dealing with resistance?

MS. NITECKI: — dealing with resistance, yes.

MS. JUROW: Anything else?

AUDIENCE: Customer feedback.

MS. JUROW: Customer feedback.

If you catch us first thing in the morning, we can probably add one or two. Or just catch us tonight.

All right. Well, I want to thank our speakers up here for taking the time, and for you for joining us and giving us your thoughts, ideas and questions through this evening's session.

PLENARY SESSION 1: SERVICE QUALITY

INTRODUCTION

John Lubans
Deputy University Librarian
Duke University

IS THE CUSTOMER ALWAYS RIGHT? OBTAINING THE VOICE OF THE CUSTOMER

Sue Rohan
Continuous Quality Improvement Consultant
University of Wisconsin System

MR. LUBANS: Good morning. We are starting our morning session. It's my pleasure to introduce Sue Rohan. She is the consultant for CQI at the University of Wisconsin System, which is 26-campuses large and her responsibility there is to continuously improve quality and the satisfaction in the higher education setting.

Ms. Rohan has worked as a private consultant with individuals in organizations in the service sector and within state government to improve quality. She was a founder of the Madison Area Quality Improvement Network and was its President for three years.

I think it is noteworthy that as a member of the Wisconsin State legislature from 1985 to 1992, Ms. Rohan worked to promote quality management practices in state government. Prior to serving in the legislature, she was a teacher of learning disabled students and an educational diagnostician.

Sue holds a bachelor of science degree in education and a master of science degree in educational administration with an emphasis in quality management.

Sue is going to talk to us about customers. Now I got to hear Sue at a conference on quality in higher education about a year ago so I know that what she says will be of substance.

MS. ROHAN: Good morning. How was your stay at the hotel? Were you staying at this hotel last night? How was your stay here? So are you satisfied customers? Some a little not so satisfied customers? Okay, good. That will tell the hotel industry exactly what you need then for the future. The customer satisfaction is fine? No?

Okay, that's what we're going to talk about a little this morning. If you are the customers, how do we figure out what your needs are and whether you're satisfied? By what method do we measure that? Just asking if it was okay doesn't give you a whole lot of information to try to improve things in the future or to make adjustments if all we know is: "Yeah, it was okay." So there needs to be more information.

Sometimes our attitudes about customers are a little bit questionable. If you don't like it, well, that's too bad; learn to live with it. I think that was my experience when I checked in yesterday. They said the room is not ready, what do you want; learn to live with it. Well, we try to get beyond that.

I would like to give you some fundamentals just to get started on what we're talking about just in terms of who the customers are. If you look back to the 1840s and beyond — actually, I think up to the present — the view of an organization was basically this person at the top and then the various departments below that. Nowhere on this sort of organizational chart does the customer appear. We aren't real clear on what the relationship is with a customer.

We kind of built a new hierarchy with people talking about quality where we look at customers as part of that arrangement now. You have your leadership group at the bottom of the chart supporting those people in the departments, the directors, the deans, whatever, then moving into those who are actually working right along with the customers. So the customers do show up in this regard. They are a part of the chart, but it still isn't necessarily clear what all the lines of communication are or exactly how they fit into this system.

Dr. Deming and others have talked about looking at customers in the organization in a different way. Dan Seymour mentioned this yesterday when he talked about the various processes in which you're involved and where the customers fit.

If you think of the things that you do, checking out books, ordering books and so forth, as a process, you have things that come out of that. You have certain products that are available, publications, et cetera, services that are given to your customers, either within the organization or outside. How do you get those processes up and running? You have certain resources that come in and certain people who supply those resources.

So this is just an expansion on what you saw yesterday in those couple of building blocks that Dan put together for you. In this regard it's clear where the customers show up in the organization. They're the ones that are using the services, and they basically drive what we do, or should be driving what we do.

In terms of a definition of a customer — you've heard us talking about that quite a bit already in the last day — it's anyone inside or outside of the organization who uses the services or products of an organization. Anyone who feels the impact of those.

If we're looking at the external customers, these tend to be the ones that are the end users of our products in higher education and in libraries. I think we're talking primarily about students as the external customers. They may be adding value to the service or the product after they receive it, and in some cases they may not be the final end user. They may be taking the service or the product and doing something else with it, if they're part of a link outside of the organization.

If we're looking at internal customers, it's a similar kind of thing but they're in the organization. Sometimes they are the end users, even though they're a part of either the libraries or a part of the universities. It could be the faculty utilizing your services to do research to prepare for a course, and they may be the end user or they may be passing it onto the student. If they're the end user, that's where it stops. If they're passing it on, then they're adding value before going onto the next step. If they're not adding any value, than they're probably not the end user.

So we're looking at customers internally and externally, and sometimes this gets a little bit confusing because there is a linkage here. If you take and shorten up that process, you have suppliers that are giving you things and you, as the employee within the organization, are the customer at that point. Then, you may be taking those materials or services and passing them on to someone else. At that point, you're serving as a supplier giving it to another customer.

An example of this might be in interlibrary loans. In our system we have regional libraries in the state that sometimes supply materials to the university on an interlibrary loan basis. That external library is the supplier giving the materials to the university library. At that point the university employee is the customer, but then they are going to pass it onto the student, for example. At that point the university is a supplier giving it to the student.

A customer and supplier linkage is very important. Where we have those interphases is where we can usually measure whether quality is occurring and how we can improve that quality. Customer and supplier are not stagnant in terms of at any given point in time you're always the customer or you're always the supplier. It changes based on where you are in the process.

The best way to identify who the customers are is to look at the flow of work and where it changes hands. For example, let's say that you're setting up a meeting. This is just a simple flow chart. Do any of you attend meetings? You have a leadership group, maybe; sometimes it sets the agenda. It may be just one person but maybe there's a group that submits agenda items. In this situation I'm taking this from a real-life example. The facilitator compiles those items because they're taking it from a number of different leaders. Then that solicitor or the facilitator solicits input on the items from the rest of the staff, because they want it to be involved in the decisions that the leadership group was making.

They solicited inputs, the staff provided the inputs, the leadership group compiled it, and then they had a meeting. A leadership group and the facilitator together made some decisions, communicated, and provided the information to the staff who provided feedback, made some revisions on the decision, and then distributed that. The facilitator distributed that to the group. That's the flow of work.

At any given point you've got things changing hand and every time things change hand, you have a different customer and supplier, and that is the customer-supplier link. I don't want to belabor that point but the key here is that every time it changes hands, that's an opportunity for things to go well or for things to be misunderstood. Those are the opportunities for improvement, since those are the places where you could ask questions. So rather than asking if we communicate well with our staff, you might want to question if we ask you for input on a timely basis. Do we ask you for input in the format that is easy for you to provide that input? Do we give you enough information on the agenda so you can provide input and ask questions about the various steps, knowing at which point each person changes hands and is a customer? Is the input that is provided useful?

Those are the kinds of questions you're going to be asking because you know where it changes hands and you know a little more about the process. Rather than asking, "Did you have a good time staying in your hotel last night?" you might want to ask about all the specific things that made up that experience. So that's how we can identify who your customers are. By giving that, how do we know what they want? I think this is oftentimes the experience that we have. I felt this way yesterday when I was checking in. Maybe I wanted the wrong thing. I just wanted to get into my room.

Let me give you a little story. This is over in Japan where a lot of our quality efforts have been captured, not that they necessarily started there. There was a camera company that was trying to figure out what the customers wanted, and they asked the customers, "Do you like the cameras that we're making?" "Yes, we do," they answered. "What can we do to serve you better?" They said, "Well, we would like more attachments, more lenses, more color filters, more of the micro and the macro lenses, all sorts of attachments." So this particular camera company kept producing these things: a different type of flash attachment, different lenses, different filters, the whole bit.

Then they asked the customers, "Are you happy?" "Oh, yes, we're fine. Everything is fine." But sales weren't necessarily improving. The reliability of whether the customer was actually going to go with that camera company or another is uncertain.

They decided to dig a little deeper and started looking at the pictures that the customers were taking. How were they using this equipment? What they found was a majority of the pictures were not good quality pictures. Many of them were out of focus. Many of them had the tops cut off because they were the wrong shutter speed. We're thinking back now to the 35-millimeter single lens reflex camera where you set everything: the f-stop, the film speed, the flash. What kind of quality pictures did you get if you didn't do this for a living? Not the greatest, and that's what they found in the film lens.

Now, the customers weren't telling them that. They had to really dig and find out who is using their products. The customers didn't say, "We don't like the quality of our pictures would you come up with a totally different concept." Therefore, there was a manufacture that then developed through innovation, or reengineering, or whatever you would like to call it, the concept of the automatic 35-millimeter camera that had pop up flash that came on when you needed it, that would set the film speed automatically for you, that would focus for you; all you had to do was point and shoot.

Did asking the customers what they want and what they like do it? No. It took looking at other techniques to discover the needs and how to best meet them. I think that was mentioned yesterday in Dan's first question: Is the customer always right? Someone said the customer sometimes can't articulate their needs, and that's exactly the point here. We need to be able to figure out what the customers want. Particularly in the service sector, which is more of what we provide in higher education are services in general, there are a number of gaps in service quality that would give us an indication of where we could look for improvement, because we can't just ask, "Do you like it?"

So what are some of the gaps? Well, in one sense, not knowing who our customers are. I've seen this a number of times in defining if the customer is the student. Are they legislators? Are they the higher governing board as in Regents? I have a group that I'm working with right now that does policy analysis and research for the system, for the University of Wisconsin system, and some of them think that our customers are the Regents; that producing the reports for the Regents is the most critical thing that we do in that office. Another part of that staff believes that any phone call from anyone is a customer. That person never gets their reports done for the Regents on time and the boss isn't happy. And guess why? They don't agree who the customers are.

None of them has the concept that the ultimate customer is the student or perhaps the employers. They're all focused on getting reports done for Regents, but that's about it. That drives the business that these folks do in the central administration office. There's some questions about whether that's appropriate.

The second gap that we tend to see is not knowing what customers expect. I've stayed at a lot of Marriotts recently and they always have an ironing board and an iron in the room and I'm raising my level of expectation. Some people don't use those things so it really doesn't matter, but you need to know what they expect.

If the expectation is to graduate in four years and get a job, is that something different than what, perhaps, our faculty are expecting the student to get, such as a general broad educational background to help them for the rest of their lives to be good social contributors? Just what are the expectations? There's a lot of debate who knows best what the expectation should be.

There was a survey done on one of our campuses not too long ago about the courses and the faculty. Rate the faculty. They said, "Oh, yes, they were great." Then we asked, "Is there anything else you would like to tell us?" They responded, "Yes, by the way, there is. I didn't need that course. I couldn't get into the course I wanted and my expectation is to graduate in four years; what are you going to do about it?" So we weren't asking the right questions. We didn't know what they expected.

This relates to the next one: standards, the wrong service quality standards. We were looking to have excellence in teaching, not necessarily timeliness in terms of getting students through in four years or accuracy in terms of what courses they could sign up for. There are lots of different standards that we look at and if we don't know by what standards and what the expectations are, it's difficult for us to improve and to produce the quality that the customers expect.

Promise versus delivered; a mismatch between what we're delivering and what we promised. Did we promise things in one week and it comes in ten days or in two weeks? If you had told them in the beginning it wouldn't be there until two weeks and it came in ten days, they might be happy. If you told them it was going to be there in one week and it came in ten days, they're probably not going to be happy. It's the difference between what's expected and what is actually delivered.

The last one is a key one and this is the difference between customers' expectations and perceived service quality. What we have found over the years of studying this in the service sector is that this is the real key gap in the quality and service industry, or in the service sector:
What do people expect and what do they perceive they have gotten? To start out with, it's how we determine if the customers are satisfied. Look at Dr. Kano's model of customer satisfaction.

Traditionally we've looked at customer satisfaction in sort of a one-dimensional way. Two measures here: Are you fulfilled or not? Did you get what you wanted? Then are you satisfied or not? Are you fulfilled? Did you get what you wanted, or what we thought you wanted, and are you satisfied?

In the past, we looked at this as one-dimensional. If you didn't get what you wanted, you weren't satisfied down in the left quadrant. If you did get what you wanted, you are fulfilled, you are satisfied, and this is one-dimensional; pretty much a straight slope there.

An example is if you went to the library, checked out a book, it was there, you got it, you're happy. If it wasn't there, you're not happy. If you wanted to get into a particular course, you got into it this semester, you're satisfied. If you didn't, you're not. It's a very old and simplistic way of looking at customer satisfaction, and that's what a lot of our measurers have been based on.

There are some other factors, though, that we have to consider when we're trying to figure out whether customer service is good quality or lacking. The concept here is that if you're not fulfilled, you're not satisfied. If you are fulfilled, you might still not be particularly satisfied.

When I asked you if you were satisfied with your stay last night, and if we even probed that a little bit and asked what you liked, it's unlikely that you're going to tell me the expected quality items: there's a bed, there's a bathroom in the room, there's a telephone. In this country I think those are things that we expect. We're coming to expect even more than that. As technology changes, we're expecting a lot more in terms of the services that are delivered at any given place, any given facility.

Right now it would be unlikely that if you asked someone if they were satisfied and how to improve, they will list those things that are expected. So sometimes people design things and leave out the expected items or change them in such a way that you are no longer delivering service because you didn't realize that those things were important.

Now this is attractive quality. This tends to be what a lot of the marketing is done around. It's the concept that if you're not fulfilled, you're still satisfied, but if you are fulfilled, you're a little more satisfied. An example of this might be when our local libraries didn't have CDs, the musical ones or they didn't have videotapes that you could check out. All they really had were books, newspapers, and magazines, but no videotapes, no audio cassettes, no CDs. Were people satisfied when they went to the library? Yeah. They never thought that they needed that. But when you went to the library and found that CDs were available, it was nice. It opened a whole new arena, a whole new level of service. It was very attractive. And this slope may, in fact, even curve and it may create much more satisfaction when you supply those kinds of things.

Another concept here is what we refer to as indifferent quality. This concept is if you're fulfilled, you're happy; if you are not fulfilled, you're still happy. That's one group of people. Let's say the library gets a new collection of Greek literature. A person uses the library a lot, but they don't use Greek literature. They don't really care about it and they're happy whether you have it or not. It doesn't matter. That's not raising customer satisfaction. They're really indifferent as to what you're doing in terms of improving satisfaction because they have already got a mind-set that really overrides the quality of service that you're providing.

The last one is a very interesting concept. It's what we refer to as reverse quality. This is what we see a lot of when we have new technology. When you provide this for people, they're not happy, and when you don't provide it, they are happy. An example, as you move from a traditional card catalog into electronic. For someone who isn't familiar with utilizing the technology, they were perfectly happy with looking it up in the drawer on the card and now you've given them a new obstacle as opposed to a new opportunity. This was true when they came up with electric powered windows, voice mail, email for some people.

What tends to happen when you come up with new technologies is the development of two groups: one which considers those things reverse quality, and another that considers those things attractive. Eventually these new technologies become expected. Over time the reverse group learns to use these or they're no longer with us. Eventually it becomes expected quality, so it's kind of a bell-shaped curve. There is one group that is very excited about all the new things and another group that just doesn't want to change, and in the middle are the rest.

Eventually that bell-shaped curve moves and you've got everyone considering more of an expected kind of thing.

Is it because it's attractive? You know, just what is it? It's just taking and combining all those graphs.

When you ask your questions of customers and try to figure out what they need, you're going to need to dig to find out what those expected things are; what are the things that are going to change over time?

Here is a good example of this. I had a group and asked them to come up with an example of each type, to demonstrate each of these concepts. For the expected quality they came up with a computer and said they expect to go to work at the university and have a computer. That's expected quality. When they said reverse quality, well, that was a computer, too. When they said attractive quality, that was a computer, too. Everybody around the table could use the computer as an example to demonstrate each one of these, and I think that's because it changes over time and in any given environment it's different.

This is very important to understand because when we start designing improvements in our services, we start combining these things. What we see a lot of is people being proactive about how we can improve customer service. Well, let's design some new features, whether it's offering the new technologies or whatever. But bringing in new features, new designs is very proactive and we think it's going to improve customer service, and it will in a large segment of the population.

The other is the reactive, and that's trying to reduce complaints. One is we collect the suggestion cards. The other is we collect the complaint cards to try to reduce the defects. You can do either one of those but in either case you'll probably improve things. Understanding both of them and doing both of them and putting it together is going to give you a much better level of service and quality.

Doing one without the other can actually be quite detrimental because you're going to have people for which this attractive kind of thing is going to be detrimental. Where you're only focusing on reducing complaints, will offer the things that are now becoming attractive or expected qualities for people. You're going to be left behind and they're not going to want to use your services. So you need to be aware of both of them and be working on both of them.

Let's move on to expectations and perceptions. What are the dimensions of service quality? Expectations and perceptions are really based on four key things in terms of service. I guess I'm trying to distinguish this from our traditional roots of quality that came through manufacturing where you could actually measure the widgets and what the defects are. This is a very different thing for service industries or service organizations where it's hard to measure if we are a high quality performing organization because there are different expectations and perceptions.

So we need to look at personal needs, past experiences, and word of mouth. Of course, you know that word of mouth is going to be more likely negative than it is positive. If you are walking down the hall and someone wants to tell you about their experience at the hotel, it's more likely that it's going to be a negative concept that they convey to you than it is something positive.

There are a number of dimensions by which we measure service quality that are really quite different from those things, for the most part, in a manufacturing setting.

The one that is quite similar is the tangibles. In service, because you may not have products that you're producing, it may be a little bit different. We may be looking at the appearance of the physical facilities, at the equipment that people are using. It may be the personnel, how they treat you. It may be the communications, the materials used to communicate about your organization.

Another dimension that people are going to look at is reliability — your ability to perform the service that you promised, how dependable and accurate is it gives you some concepts about reliability.

Responsiveness: Willingness to help customers and provide prompt service. Do you respond to them? Do you do it promptly?

Competence: Possession of the required skills and knowledge to perform this service. Do they perceive that you're competent? When a student comes in and asks a question, are you going to be able to get an answer to it? How frequently? How do you know? Where is the check sheet that measures that?

Courtesy: Politeness, respect, consideration, friendliness, primarily with the frontline people.

Credibility: Can we believe you? Can we trust what you have to say? Are you honest about it? Honesty is real key one because if we come into your organization and get one answer and then go someplace else and find out that's not true, your credibility is going to be damaged for some time.

Security: Free them from danger, risk, doubt. I know when I was in the legislature this was a key thing in terms of people checking out videotapes and other materials. Is there a record of who checks out what? How secure is that information? To whom are those lists provided, and is that regulated in any way? In some states it's not regulated at all, and I know libraries are selling mailing lists of their patrons, ostensibly for fund-raising purposes for local libraries. This is true.

This is a true story. They are selling a list of their patrons for fund-raising purposes. And what goes with the list? How secure is the information that goes with the list? How often do these people use the library? Is that noted in the list of the patrons? What are they checking out? There are lots of concerns about that.

Security: Access, approachability and ease of comfort. How acceptable is it? Can you park when you want to get there?

Communication: Keeping customers informed in a language that they can understand and listening to them. This is very important.

And the last one, understanding the customer. Making the effort to know your customers' needs.

I just want to quote to you from one of our campuses. They did a survey of undergraduate students wanting to know a little bit more about the students' perception of student services. What they found is the students weren't particularly aware of the services that were available. They didn't know about advising. They didn't know about some of the financial aid services. The list went on and on. They just weren't aware of it.

So what was the most important thing? In regard to the respondent's assessment of the campus client, the majority of student responses indicated they did not feel valued by faculty or staff. They didn't feel valued. Did we understand the customer? Did we value them? That really drove their feeling of whether they wanted to return to the campus or not. Would they recommend the college to their sisters or brothers or other friends? Well, they didn't feel valued.

This is that fifth gap that we talked about, the difference between customers' expectations and perceived service quality. This is really the customer view of it. Here are those four concepts: Word of mouth, personal needs, past experience, external communications. All of that plays into what they expect in terms of the service.

These dimensions of quality that we just went through, these are all of the things that are going to be the basis of the perceptions. The staff in between is what then tells whether or not they perceived the service to be high quality or low quality. It's really just taking the concepts we just talked about and putting them together, and that's where you end up with this gap, the dissatisfaction gap, between expected service and perceived quality. That's the real key here because of all those gaps that we talked about, this is the one where you can see the most improvement and where there are the most problems.

So, how do we know? How are we going to figure out what they think about those dimensions? Well, if you ask if you are a high quality library, what's the answer?

MR. LUBANS: Yes.

MS. ROHAN: Yes, okay. How do you know?

MR. LUBANS: You do surveys occasionally.

MS. ROHAN: You have ways of knowing these things, right.

MR. LUBANS: Yes, we do have ways.

MS. ROHAN: He said they have surveys occasionally. How do you know?

AUDIENCE: We get a lot of letters thanking us for our excellent service.

MS. ROHAN: They get letters thanking them for their excellent service. Are those letters talking about expected quality or the attractive quality?

AUDIENCE: Usually they get much better service than they ever expected.

MS. ROHAN: Much better service than they ever expected, okay. So, again, the gap between what they expected and what they perceived they got was a positive gap and big enough that they took the time to write the letter. How do you know if that's representative of the group that is perceiving things in reverse quality?

So we're talking about we know that satisfaction gap is a satisfaction gap in that instance when you get a letter. Are those letters representative of the full community and users?

How many did we lose, perhaps, because of a new technology or service?

AUDIENCE: Because you don't know.

MS. ROHAN: You don't know. How about any of the rest of you? How do you know that your high quality library is providing services?

AUDIENCE: We have lots of books just in case somebody might need them.

MS. ROHAN: We have lots of books just in case somebody might need them. So where would that fall? Let's see. Access. We're going to be responsive. You understand the customer just in case they might ask for it.

AUDIENCE: It's also they're credibility.

MS. ROHAN: Credibility, okay, and personal needs, perhaps. Yes?

AUDIENCE: We've actually done some studies to see if we have most of the people checking out any book, and there's an old study called the Pittsburgh study which said that you have a 50/50 chance of a book being used within the first five years of its shelf life. What we found in our collection is that we have a 50/50 chance of a book being used for the first 12 months of its shelf life, so we know that what we're buying is more targeted. We're basically taking the customer's behavior and seeing how that relates to our collection.

MS. ROHAN: For those of you who may not have heard him, he's talking about the Pittsburgh study, which many of you may be familiar with, that says that a book has a chance of being used within the first five years, a 50 percent chance, and in his library they have found through studies that it has a 50 percent chance of being used in the first 12 months, so they feel they're more targeted than an average library that was represented in the Pittsburgh study. Okay?

MS. ELBAZY: I can see this one survey and one measuring what the customer wants, but libraries have a battery of tests, self-assessment and assessment of the collection, collection developing policies, that make sure that this is what the faculty — it's distributing every year when new programs are being added. There's a lot of surveys, complaints, and suggestions, that may lead one way or the other in developing. But you have at least four different customers, and each year of those have four undergraduate years. Then you have the graduate and you have the research, where the pattern of contents is different than engineers and different than the liberal arts people. There's a whole lot of clientele with different profiles. In order to meet that, you have to do a battery of tests, not just one survey or just use a perception. It would be very biased.

MS. ROHAN: Excellent. You've just given the next 15 minutes of the speech I'm going to give. I'll come back to that for those of you who didn't hear. We'll take one more comment.

MS. NITECKI: Maybe in three or four months I would give you a little better answer than this but there is an instrument that is based on this theory called SERVQUAL, and I'm in the process of trying to evaluate this.

There is an instrument that was developed based on this theory called the SERVQUAL and I'm in the process of validating whether or not it could be applied in a larger setting. Actually we're in the middle of gathering the data right now. And a very interesting component of this is its relation to satisfaction. One of the questions is to see if there is a correlation between people's overall satisfaction. It's very exciting. Give me a few months.

MS. ROHAN: And which institution are you with?

MS. NITECKI: University of Maryland.

MS. ROHAN: University of Maryland, so contact them in a few months and they'll have the answer.

AUDIENCE: May I make a real quick —

MS. ROHAN: Sure.

AUDIENCE: There's a real difference between satisfaction and appreciation. Now, all faculties love all librarians, but they're not always satisfied with the service that the nice librarians give.

MS. ROHAN: That's very good. So you're all very well-loved by your faculty but not necessarily good service.

Let's move on, then, and see how can we figure out a little bit more about this.

What she was saying is first you need to identify the customers, and you have a multitude of customers. You have students in different years in their four-year program, you have graduate students, you have people doing research and so forth, so the first thing is you have to do is identify your customers. We've talked internal and external so I'm not going to go into depth about that, but on your chart it talks there about flow charting the product or service, brainstorming a list. So you need to consider all of those customers.

The next thing you need to do is prioritize them because they're all important but you can't meet all the needs of all the customers all the time, especially early on in this process. Your goal might be to eventually be able to do that, but it's not one that I've seen people easily attain. You have to do some prioritization. I have just listed a few steps there in terms of how you might prioritize, looking at primary and secondary based on whether they're internal and external and doing some groupings. That's really a discussion to be had within the organization to come to consensus on it. There is no right or wrong answer. The thing is that the organization has to agree on that. Your leadership has to agree on that so that you can be focused on who you are going to most likely serve.

The third one is to gather information. You want to go a little bit more in-depth on a couple of these. In gathering the information you're going to look at your existing information. Some people have mentioned having some surveys, some here mentioned that there are lots of different things by which you can measure. There's a lot of existing information that's there. You'll be looking at new information, and then you'll also be investigating the usage of the services that you have. As I mentioned with the camera story, looking at existing information and new information didn't give them a thing. They needed to look at use, how they are using the products, in order to figure out where the opportunities for improvement were.

Your existing customer information might include things like complaint information, comment cards, surveys, others. There are all sorts of things that you might include there. For your new information you might like to do things like focus groups, which I find give you a whole lot more information than surveys. It really gives you the ideas to then put onto a survey to do more broad-based study and to confirm what you found from the focus group. I find that focus groups are quite useful.

We've done some telephone surveys of students, and that's been effective. You might want to visit some of your customers, particularly if they're your key, strategic opinion leaders on your campus. Use check sheets to collect data. How often are we able to answer the question on the first time that it's asked? You may want to do some benchmarking and forecasting. Look to see what you expect to be happening.

The third thing, in terms of investigating customer use: How do you do that? Be a customer, study customer behavior, simulate customer use. I find being a customer to be probably the most useful of these. Actually walk through it and see how it feels yourself. Call your own institution, call your own library, and make a request and see how it's handled.

We had the chancellor walk through what registration was like on the Madison campus. Big campus. It takes days to register. We're now doing it electronically.

As an example, the group designing a campus ID card gathered information on customer needs. They already did steps one and two. They identified and prioritized customers. They gathered information on what the customers need and got in response: They want to be able to cash checks with their ID card. They want to be able to carry it on a key ring. Another customer is saying they want to verify that the person is a student. They want to use the ID card like a vendor card to purchase things. We have a different customer here. It's not the student anymore. Someone else wants to see the photograph when they enter the library.

They're taking all those customers' conflicting and different needs. Well, then we get to step four which is to structure those needs. You have to compile them first, knowing what they are, and that's going to come from all those different sources of information — your old information, your new information, your usage as a customer. So compile it, convert it all into positive statements about needs, because what you're going to get when you interview customers is a lot of complaint information.

The ID card is an example. Taking those needs from the various customers for an ID card, we group them into things that the customers want, i.e., check cashing, carrying ease.

Verify status. Well, cashing checks, the student wanted that; so did the local clerk in the store. Verify that they are a student. Verify so that they can use the library. Verify that they're a member of the union. So a lot of things about verifying status.

Convenient to use. They want to use it as a vendor card to charge meals or for the parking lot.

Once you start looking at that, you can see that there are some common threads here. Even though they're different customers, everyone is interested in varying status: the students are, employees of the university are, the local vendors are. Customers start to give you some ways to move onto the next steps in terms of then prioritizing. Prioritizing the information as to what are the real needs and then what are the things that would be nice to have. By just creating the matrix of that and then ranking those things you can start designing.

Next are steps six and seven, which I'm not going to go into in detail. To meet that need of the customer, what would the student ID card have to have? Well, they probably have to have the photo on the front, not on the back; the signature on the front, not on the back so you don't have to pull it out of your wallet and turn it over. It may need to have the magnetic strip on the back so you could put it through the parking lot or vending machine. So you design that.

Is that possible to do? That's what step seven talks about, conduct your value analysis. What's the cost and the benefit of that? Once you get that information, you may want to go back out to your customers before you produce 40,000 ID cards and be sure it is what you want. This would be a clue for the IRS. Before you produce those new tax forms, walk down the hall and see if someone knows how to use them. Do they work?

So you compile it first, and that's step 7.3, and then verify the satisfaction and see if next year when you're going to produce new cards, there are any improvements that you would want to make.

I want to wrap up now. Let's see if we have a few minutes for questions. We have something that we developed: a self-assessment guide. It's based on the Malcolm Baldridge Quality Award. Ours is not an award. I've just given you the first two pages of it. If you are interested in the full text, I would be happy to send it to you.

But in this self-assessment guide, which is a national model in terms of the Baldridge being our national criteria in a sense, there are a number of places where a customer comes in. These are the seven different categories, and you can see it blatantly in 2.0, the customer focus, and the 7.0, the customer satisfaction. So let me just show you some of the others.

Under leadership, reinforce customer focus. That's the purpose of leadership or one of the key things. So you've got to know who the customer is and what they want to be able to do. As I said, customer focus, you're going to plan all the things related to customers. Define what your standards are.

The third category, information analysis is based on getting information and analyzing customer needs and satisfaction.

Human resource development. We talked about internal customers. Well, how do you know what they need or what they want unless you've asked them that? That gets to customer needs again.

Management and process quality. What for? To meet customer needs. It shows up in that area. As I mentioned in number seven, customer satisfaction and operational results.

The only one I have not mentioned is strategic quality planning. And guess what, it's based on customer needs. It's just bringing together all these other things. Put your plan in place.

So if you're interested in doing quality, the first thing that you need to do after you learn about and commit to it is study your customers. At the same time you're going to look at your critical processes because it's hard to know who your customers are without knowing what process you're looking at because you have to use the flow chart to identify who the customers are.

This just gives you an overview, of where you would start. I think what I said was the big focus on why the concepts behind who you're providing services for are the real critical foundation for where you start.

We started about ten minutes late so I'm done early, right? I think we have time for a couple of questions before the break, if there are any, otherwise —

MS. BUTCHER: I have a question that is sort of general to what you're talking about. I think what happens sometimes, at least in my organization, is we just get beaten down. I was thinking about the ID cards, and it came up with universities in designing an ID card, but it doesn't work with the library because our system doesn't interact with the ID card. For us to interact with it, we would need to buy this other piece of equipment. So then you spend a lot of time talking about buying this other piece of equipment and pretty soon you're doing something else.

It seems like the opportunity for meeting customer expectations and doing quality is on two levels. There's the philosophic level about what we want to do, and then there's the kind of getting buried in the day-to-day minutiae that your heart is right but you just finally pack in certain things. Maybe it's because we're in transition and the overall support is still coming into place. What is your advice or recommendation when you get in that spot?

MS. ROHAN: Well, I think it comes back to number one — in the self-assessment guide and that is leadership. If leadership isn't together on this, it makes it very difficult. If you have any role in influencing leadership, that's a good place to start.

That doesn't mean that you can't do anything without leadership. Just pull down the shade on the window and get started. Don't let this stop you. Then you are going to run into the road blocks that you just mentioned.

For those of you who maybe couldn't hear, if you want to design a student ID card and the library equipment doesn't interface with the rest of the campus, what do you do? Do you stop there? Well, I can't tell you the answer to your particular situation but the real key to all of this is to have the leadership.

We're talking about empowering employees and doing training and doing quality teams and so forth. Well, that's just a small part of it. Those quality teams are down here — management of process quality. We do a lot of instruction about that, the 77 improvement processes, facilitator training, and so forth. You can make improvements there. You can study an ID process and make improvements. If you haven't done any of this other stuff, you're going to be limited in effectiveness.

Deming, I think, talked about three percent of your improvements coming from number six and the other 97 percent coming from leadership and planning, which are very tightly tied together.

So quality teams, yes, they're great. Making improvements when you pull down the shade, yes, it's good and you can be customer focused and you can do a lot of those things to decrease that satisfaction gap, but at some point you hit the wall because you don't have the leadership behind you. There is a national movement for higher education. All the strategies that you would use in any situation to influence leadership are applicable here.

Peer pressure. We have brought in people from different ranks. They talk about organizations actually change based on two things: vision and crisis. Maybe 25 percent of the organizations that are committed to quality do it on vision. The other 75 percent are doing it because of crisis.

How did our Department of Revenue decide to come to quality? And they have given talks all over that they're really doing great things. It wasn't through vision. It was because they issued a refund check for over two million dollars to somebody like me who was maybe expecting a couple of hundred back. Well, that was a crisis. It made front-page headlines.

When universities close, when you get a 25 percent cut in the budget from the legislature, it's not vision that's going to make you change, unfortunately. It's probably crisis. I guess those are the things that I am afraid are going to happen if people don't choose to do this on their own. I think this is a very good proactive way to improve services as well as, as I said in my introduction in your paper, we're being asked to do more with less. How do we do it? This is a strategy that allows you to control a little bit of your destiny.

Dan talked yesterday about if the budget is cut, does that mean we reduce quality? No. That just means you have to do things differently.

Any other questions?

AUDIENCE: Talk a little bit more about influencing leadership.

MS. ROHAN: Talk more about influencing leadership. How much time do we have?

We've used a number of strategies, and I can't say that we're there. When I look at our entire system in the 26 campuses that we have, we've had varying success with our chancellors and so forth. What I have found to be extremely successful in moving some of our institutions along was recognizing the efforts in a very, very visible way of those parts of our institutions that have done well.

If you're talking about a single institution, perhaps you have an area that's done well and you can highlight just that department or that division or that office, and what we did was to, as I said, make a very visible event of this and invite in chancellors, Regents, to give recognition to the teams that had done strategic planning. Any of these seven areas, we recognize them. For those campuses — and you can translate that to department or office or whatever — who had not done anything, when the book was published on what had been done, they were going to be left out and all of a sudden they decided they had to put together a steering committee and get going. I think that in terms of carrot and stick, this was the carrot part of it.

It's been suggested that funding be allocated differently to campuses based on what they're doing in quality. We haven't gotten to that point, but I know that some institutions have used that.

Another thing that we've done is to have CEOs from other organizations come in and talk with either our chancellor or president about their success. I think too often it's measured in bottom-line dollars and cents. But you can also look at that in terms of customer satisfaction, reducing rework, complexity, eliminating when you've got a flow chart that has 50 billion steps in it and getting it down to ten basic steps.

If you can bring in those examples — I have not found it to be real effective for the rank and file, necessarily. Sometimes it's effective. I shouldn't say that. Sometimes it's effective for the rank and file to bring in their improvements to the supervisor or whatever might be the next level up and show the success, but sometimes that's just a big yawn: "Oh, that's nice, go ahead, keep on doing what you're doing but no changes in commitment from leadership."

If you have someone that's a peer and at that same level come in and talk about what they've done in their organization, that seems to be more effective. I think you can find those people if you look throughout your community.

Yes?

MS. ELBAZY: Most of us within the university have faculty councils come over for the business in general.

MS. ROHAN: Faculty councils, okay.

MS. ELBAZY: Faculty councils are one of the most effective things we can use in libraries.

The faculty council or the faculty committee really use a great deal in society and a whole lot of pressure on the administration of the university.

Another group is the students themselves. When the students are not happy, we keep it aside to keep in mind. We found that the faculty and the students put a lot of stress on the university administration and we gained quite little.

MS. ROHAN: So faculty council, students. When I was in the legislature, legislators sometimes had influence, if you're a publicly funded institution. Like I said, I think there are those traditional strategies. I think we're probably ready to close.

MR. LUBANS: I think so. Thank you very much, Sue.

A MODEL FOR REORGANIZATION APPLYING QUALITY PRINCIPLES AND TECHNIQUES

Lynne Branche Brown and Nancy Markle Stanley
Pennsylvania State University

The Acquisitions Department at The Pennsylvania State University Libraries is using the tenets of Total Quality Management (TQM) to alter the organizational structure of the department. Currently, the 35 department members are organized into four traditional, supervisor-led units. Through reorganization a number of flexible, customer-driven, self-directed work teams will be created. As a first step in this reorganization, the Acquisitions Librarians were appointed to the Acquisitions Management Team, responsible for the activities of the department. Formal and informal reorganization processes are being followed which incorporate employee participation, consensus, data gathering, and analysis. These processes, which draw on many of the philosophies of TQM, are described here. Additionally, some of the difficulties that have been encountered are discussed.

The authors are happy to have this opportunity to share what we are doing at Penn State to achieve an organizational structure that supports continuous quality. As the Acquisitions Management Team, we serve as head of the University Libraries' Acquisitions Department. The department's mission is to acquire materials for the University Libraries at University Park, and 20 Commonwealth campus libraries across the state of Pennsylvania. The Team has been in place for the last 12 months. Prior to our appointment as a team, we served as Head of the Receiving Section and as Approval Plans and Gifts Librarian in the same department. This discussion will begin by describing the formal process being used to change the organizational structure of the department, from its traditional hierarchy to a team-based environment of empowered workers (see Illustration 1). Following that, a description of the many day-to-day things that have been done to support the culture change required for the success of the reorganization will be discussed.

The Acquisitions Department at Penn State has traditionally had a very hierarchical structure. Four librarians served as section heads for functional areas of acquisitions. They reported to the department head. Coordinators, who were responsible for managing daily operations, reported to the librarians. Unit supervisors reported to the coordinators (see Illustration 2). Through reorganization, we hope to reduce some of these layers, improve the effectiveness of the staff, and provide an environment that is supportive of all employees and their ideas. Process improvement, efficiency and employee involvement, are encouraged and supported.

Acquisitions departments are second only to accounting and cataloguing departments in their love of detail and orderliness. If we had surveyed our suppliers and customers a few years ago, we might have been described as obsessed with detail, unaccommodating, and inflexible. The departmental culture frowned on mistakes and risk taking was not encouraged. "Standardization" was a watchword and efforts were made to fit everything into the "routine." Much of this was understandable. The department processes orders for nearly 50,000 books a year and handles 27,000 serial subscriptions, not to mention receipts from twelve approval plans, gifts, exchanges, binding needs, and technological implementations. Standardization made it all more manageable.

In 1992, the President and Provost of the University began promoting TQM as something that could benefit the university. The Dean of Libraries was an early convert, and the libraries was one of the first units on campus to receive training in total quality techniques. Penn State calls it "CQI," or Continuous Quality Improvement, and has been following Oregon State's process model for improvement. By October of 1992, the libraries had two active process improvement teams in the technical service areas. Both teams were sponsored by the Associate Dean for Information Access Services. While we were learning all about continuous process improvement and the benefits of employee empowerment, the Head of the Acquisitions Department resigned to accept a position at another institution.

Having heard that effective change occurs from within, our Associate Dean called a meeting of all the Acquisitions Department members when the vacancy occurred. Her objective was to solicit input into how the vacancy should be handled.

WHY/HOW WE WENT IN THIS DIRECTION

With the decision to open a dialogue with the staff the journey into reorganizing for process improvement began. When asked why she chose to handle the vacancy in a participatory manner, rather than the traditional method of evaluating the options and making a decision to fill the position or eliminate it, the Associate Dean said that the biggest motivator was what we learned about process improvement: Lasting change and improvement calls for empowerment of workers and consultation with them.[1] When she called the meeting of the department, she had no preconceived notions about the direction the department should take. But she believed that ideas generated in an open forum by staff were more likely to succeed than ideas imposed from "above."

At the beginning of the reorganization, the department was composed of 35 staff and four faculty members. At our open forum, in December 1992, these 39 people were randomly grouped around five circular tables, and asked to brainstorm an organizational structure for the department. The meeting began with some background information on Continuous Quality Improvement. The head of the university's new CQI Center was present to answer questions and encourage us to be innovative in our thinking. Over the course of the morning, each group developed a proposal for department structure. The five proposals were then shared with the entire group.

What was heard at that meeting indicated that a change more radical than the replacement of the department head was desired. One table (of eight staff members, and no supervisors), proposed a structure that eliminated supervisors altogether and established "work teams" of staff members. Other proposals eliminated specific levels of supervision, but retained some of the traditional hierarchy. The department had been organized by function into ordering and receiving sections. At least one group suggested organizing by format. One group suggested pulling specific parts of the Cataloguing Department into the serials receiving group.

Following that meeting, the Associate Dean had two primary challenges: what to do about leadership for the department while a reorganization was being planned and what to do with the five proposals that the department members had developed. An industrial engineer and specialist in organizational design from Penn State's Office of Human Resources was called upon to provide assistance and advice. Her support helped to maintain the staff participation that had been an integral part of the initial planning. This was a new way of thinking for all of us and sometimes it was tempting to manage, rather than lead, but facilitation by the consultant helped us to be leaders rather than managers.

During January and February (1993) the small groups that had been formed in December met again. Their goal was to find areas of agreement among the proposals, and reduce the number of options from the original five to two or three. By March, the Associate Dean had three recommendations from the department members. Throughout these three months, the themes of teams and teamwork, reduction of supervision, and elimination of layers continued to weave themselves throughout discussions.

On May first the Dean of Libraries accepted a proposal that an interim structure be implemented while a formal process for reorganization be followed. Three librarians were appointed to serve as a management team for the department and a steering committee was established to begin the reorganization process. The fourth librarian became full-time Preservation Librarian, and moved to another department.

This was an exciting opportunity to dream. There were lots of ideas flowing through the department and the visionaries among its members were given free reign to make suggestions and encourage alternative possibilities.

STAGE 1: STEERING COMMITTEE, AMT, AND SURVEY

The appointment of the Management Team set a precedent in the university libraries. It sent a clear signal of support for teams to the department, as well as the rest of the library. It also gave the members of the management team first hand experience doing what the rest of the department staff would eventually be expected to do, i.e., work together as team members. But establishing the management team was also a test. One administrator once said that if the management team could succeed, then it was likely the whole project would succeed. However, early in the process, the third team member chose to move to a cataloging position at another institution, and the two remaining librarians have persisted as a team of two.

The formal process that has been followed is typical of the structure used in project management. It began with a steering committee, then a design team, and finally training for implementation.[2]

The Steering Committee was established to "provide top-level guidance to the process of moving toward self-directed work teams." The Steering Committee was composed of the Dean of Libraries, our Associate Dean, and a cross-section of other library administrators. In addition, the industrial engineer that had provided early consultation to the Associate Dean facilitated the steering committee meetings. The committee met six times between June and September of last year. These meeting assured that upper-level management in the libraries understood what self-direction was and were supportive of the move to teams in the department. The mere fact that the administration was willing to commit time and attention to examining the concept was also a clear signal of support for the reorganization to the department.

The agenda for the committee, as outlined in Illustration 3, shows the tasks the committee faced. The Steering Committee began by learning about self-directed work teams. Our facilitator played a key role in helping the committee members understand the difference between managing work units and leading teams. They learned not only what would be different for staff, but what would be required of them if they were going to support moving in this direction.

After this initial overview, the Steering Committee discussed methods for evaluating the readiness of the acquisitions staff to move toward teams. To help with this assessment, another Penn State specialist, an expert in organizational behavior from the Psychology Department, was asked to assist. He recommended that a series of standardized tests be administered to all members of the department. According to the specialist, the results of this testing would help the Steering Committee in determining whether the acquisitions staff was likely to succeed in self-directed work teams.

The survey was conducted in August. Staff members were asked to attend one of two testing sessions, which were held in a classroom outside the library. The Steering Committee spent some time talking about how to assure that staff would not feel threatened about being surveyed. They felt that holding the sessions outside of the library might make it more appealing to participants. During department meetings, the staff was encouraged to see the survey as an opportunity to let the Steering Committee know how they felt about their jobs as they existed and about moving toward self-directed work teams. Staff were very willing to participate. Only two members of the staff were unable or unwilling to complete the survey.

DEPARTMENT SURVEY

The survey had four sections and took about 90 minutes to complete. The first section assessed the culture of the department. Section two used the PANAS scale to assess staff feelings and emotions. Section three measured current levels of employee involvement using a Job Diagnostic Survey developed at Yale University. Finally, section four asked for employees' opinions on various issues that the Steering Committee had identified as key to the reorganization.

The organizational specialist, together with our facilitator, compiled the survey results and presented them to the Steering Committee in September, 1993. In a nutshell, the survey indicated that members of the Acquisitions Department, as a whole, were near national norms in their perceptions of how they felt about their jobs. Satisfaction in the job was about average, with some units having higher levels of satisfaction than others. According to the survey, all members wanted opportunities for professional development.

The Steering Committee was pleased to see that as a whole the department was typical of any group of people, and that there were no indications that they would be unsuited to moving toward self-directed work teams. In fact, hearing that this group was no more dissatisfied than most groups was an important element of the survey results. These results have helped keep indications of dissatisfaction in perspective as specific incidents of resistance and discontent have emerged.

Following the evaluation of the survey results, the Steering Committee gave the green light to a team-based structure for the department, and recommended that a design team be formed to plan the transition from traditional work units to self-directed work teams. The Steering Committee had completed its task, and no further meetings were scheduled. It had accomplished its purpose of informing and securing the support of the library administration. The consultants then shared the survey data and the meaning of the results with staff.

STAGE 2: DESIGN TEAM

The Design Team was assembled during the month of October. The Steering Committee recommended that this team be composed of three appointed members from the Acquisitions Department, six elected members (elected by their peers), and two representatives from Cataloguing and Collection Development (our customers and suppliers). The group was initially facilitated by the consultant who facilitated the Steering Committee meetings. The Steering Committee directed the Design Team to "recommend a plan for accomplishing the tasks in the acquisitions area through a number of work teams that will eventually be self-directed."

The Design Team began meeting in November of 1993. Initially, it reviewed the employee survey data and began identifying areas that would need to be addressed as the team prepared a proposal. A detailed project plan, in the form of a Gantt Chart, was developed to identify specific tasks and time frames for accomplishing each task. As timelines were planned, the Design Team set for itself the goal of having its work completed by July of 1994. Throughout the planning process, the design group has been keenly aware of staff feelings and have tried to be responsive to many who feel that the reorganization has been a long time coming.

The Design Team divided the tasks to be done into three categories: communication (how we will keep others informed); team structures (those things that need to be done to design a structure for the department); and training (how we will get everyone the training they need). The Design Team then determined what activities were involved in accomplishing each category and when the tasks should occur. They decided communication had to start early and continue often. Early on the participation of all department members had been encouraged, and by now they were expecting to be completely and continuously informed of the progress being made.

One early lesson learned by members on the Design Team was how quickly someone who is perceived to have power becomes one of "them" to the rest of the staff. Some Design Team members received criticism for not sharing everything with the rest of the members of their unit. The members of the Design Team felt they had been communicating thoroughly, while other staff insisted there must be more that they were not sharing. It seemed as if the rest of the staff were expecting the Design Team to announce a decision. Those who were not on the Design Team had a hard time believing that the Design Team was simply gathering data and was not making decisions that they weren't communicating. Eventually staff began to see that the Design Team wasn't withholding a master plan that it was waiting to unveil. But it took time, and the repeated act of bringing design team issues to the department for discussion to convince everyone that they were hearing everything.

As the Design Team progressed, its work began to interweave more closely with issues of importance to all department members. In January, the Design Team met with the department and asked the entire department to brainstorm issues of concern as we moved closer to actually forming teams. To address these concerns, and to get answers to their questions, key University administrators were asked to meet with the department and respond to the issues that were identified. The Dean of Libraries, the Vice President of Human Resources for the University, our consultant from the Psychology Department, and a former supervisor from another unit on campus who had established a self-directed work team provided a panel discussion on their perspectives of our reorganization.

The Vice-President of Human Resources explained how she was working to create flexibility for departments who were becoming "teams," so that issues that were associated with University policy, such as overtime compensation and job descriptions, could be accommodated while the teams were forming. She described it as "isolating and insulating" the teams while they were in the early stages of organization. This helped assure staff that it was "OK" to do tasks that were outside their official (old) job descriptions while the teams were forming.

The psychology professor talked about the psychological aspects of change, stress, and fear. He helped reassure the department that trepidation was natural and expected.

The representative from a self-directed team gave a wonderful description of how the team in her area works. She helped staff to see that new ways of working and thinking about work can be done within the culture of the university.

The Dean of Libraries once again reassured staff that she was fully supportive of our efforts and gave a broad perspective on how valuable the process of moving to teams is to the organization as a whole. She encouraged us to "be bold" in planning team structures.

Currently, site visits to other organizations that have reorganized into teams are being completed. Recently, a group composed of design team and staff members visited the only site on campus that has a self-directed team operating. They went armed with a list of questions to ask team members how they felt about their new roles. The department as a whole is very anxious to know what the new structure will look like.

In February of 1994, the Design Team had begun discussing possible ways to organize and brainstormed a variety of possibilities. These were presented to the department for discussion. The ideas we looked at included organizing by subject (for instance, a Social Science Team, Humanities Team, and Sci/Tech Team); format (monographs and serials); function (ordering and receiving); language; ordering method; vendor; or combinations of the above (such as language and format).

The "pros and cons" of each idea were discussed, affording another opportunity to spend some time reviewing our objectives for forming teams. This provided a chance to reiterate the goals of the reorganization: creating back-ups (staff trained to do another's tasks), improving flexibility of staff, assuring ownership of a whole process, and eliminating double handling in processes (see Illustration 4).

During these discussions, it became clear that department members wanted change, but they wanted it to be gradual. There were some typical signals of resistance to change. Some asked questions like, "What's wrong with the way we are?" and "If it ain't broke, why do we need to fix it?" Many of the activities that were occurring in the department had already addressed some of the original, primary motivators for change. A number of processes had already been streamlined through the informal process that will be described in the following section. Because of this, some staff felt that enough had been done, and there was no need to go any further with it.

In addition, staff members expressed concerned about being assigned to a team without their consent. In fact, that method of team formation would be contrary to the participatory theme the department has developed. One of the next department meetings will be spent discussing how teams should be formed. The consultants have said that the ideal team size is between seven and ten members. Some staff hope to have the opportunity to try something new and would like to be on a team that does something completely different from what they currently do. Others fear that they will be assigned to a team that does something completely different and they will not know what to do. The Design Team's goal is to find a balance that accommodates everyone's needs. More than anything else, finding a balance is the greatest task, but the biggest benefit, of forming teams.

As the formal process for reorganization has progressed, the department has been gradually undergoing a cultural change in the way staff members work with each other and the rest of the library. This culture change has been supported not only by the formal process of talking about and planning for forming into teams, but also the informal processes of learning to work together differently.

THE INFORMAL PROCESSES

Many different approaches have been taken to encourage department members to become "team players." These approaches have involved a series of activities and strategies that include: coaching supervisors to become leaders rather than managers; coaching work units to begin thinking and acting like teams; establishing a pilot team; and providing many training opportunities for every member of the department.

COACHING SUPERVISORS TO SERVE AS LEADERS

As mentioned earlier, just a little more than a year ago the Acquisitions Department was a highly structured, hierarchical organization that included six managerial levels from the Dean to the supervisors. With all of these layers, issues of communication and trust had become major obstacles in fulfilling the mission of the department. It could take weeks to revise a procedure or get a new project going. By appointing the librarians in acquisitions to the Management Team, the administration effectively eliminated one of those levels. With the work of the Design Team, the expectation is to further flatten this organization. With this new structure, all members of the department will be able to work more directly with each other resolving communications barriers.

In addition to changes in structure, the Acquisitions Management Team also began to review and alter the way we communicate with each other. One of the first efforts undertaken was to change the name of the department's supervisory group from Operations Heads to Acquisitions Management Council. The purpose behind this move was to help alter the way all of us, as supervisors, think about ourselves and the nature of our interaction with staff. The objectives were to model behaviors characteristic of leadership, promoting the idea of the leader as a servant[3] and encouraging supervisors to lead their units through a consensual decision-making process, delegating and empowering the staff to become more involved in streamlining, and improving operations. "To survive in the 21st century, we're going to need a new generation of leaders ... not managers. Leaders conquer the context — the volatile, turbulent ambiguous surroundings ... while managers surrender to it."[4] According to Bennis, leaders innovate, develop rather than maintain, focus on people not structures and systems, inspire trust rather than rely on control, have long-range perspectives, ask what and why — not how and when, challenge, and do right things instead of doing things right.[5]

This transition is not an easy one, especially when the organizational hierarchy remains intact and the environment continues to be driven by individual job descriptions, performance appraisals, and merit raises. Even a seemingly minor mode of operating can encourage hierarchical thinking. For example, the supervisors pointed out to the Team that by continuing to chair Council meetings and develop its agendas, the Management Team was sending "in-charge" signals. These tasks are now rotated among Council members. While change comes very slowly, with persistence, some truly substantial changes in the interactions between supervisors and staff have occurred even in this first year. Supervisors are delegating more tasks and empowering staff to resolve problems. Communications are improving throughout the department.

Another technique, designed to encourage and assist all managerial staff to move to a more open environment and to encourage risk taking, was to begin a book discussion group. The focus of this effort is to develop an mutual understanding of the qualities of a leader. Currently, we are reading *An Invented Life: Reflections on Leadership and Change*.[6] The discussions have been challenging and sometimes even intimidating for a group that continues to operate in a typical top-down organization. Topics, such as creating democracy in the workplace, taking risks, knowing when to resign, and ethical behavior are typical. In order to assure fruitful discussions, ground rules were established by the group. Those ground rules include rotating the facilitation of our discussions, making personal commitments to full participation, encouraging each other to take risks, and most importantly, leaving organizational titles at the door of the discussion. It is understood that the content of the discussions will, in no way, be reflected in individual performance appraisals.

These discussions have enabled the Management Council to achieve new levels of understanding of themselves, each other, and the staff. The group is developing a real sense of not only the personal sacrifices required for working in teams, but also the personal advantages of working in a self-managed environment. Day-to-day operations in a typical hierarchical workplace requires a substantial amount of supervisory time to simply administer personnel functions that staff collectively or individually could do for themselves. With self-direction, the organization's most highly skilled people will be freed to redirect their energies and talents to projects that might never be accomplished in a traditional top-down environment. In essence, it should enable the organization to run more effectively and efficiently.

COACHING STAFF TO THINK AND ACT LIKE TEAMS

In addition to encouraging supervisors to provide leadership instead of exerting managerial control, the Acquisitions Management Team has encouraged all of the staff to think and act like team members. The overriding goals are to provide a feeling of belonging for every staff member, to involve them in the decision-making process, and to ensure each person has the authority to carry out the functions of their job within a team framework. Not unexpectedly, the degree of success has been mixed depending on the individual unit's collective personality, the level of employee empowerment prior to the change, the amount of CQI team experiences, and, more recently, the level of anticipated change that individuals and groups perceive will confront them when teams are formed.

For example, in a unit with a supervisor, who is noted for her participatory style, staff members have always felt comfortable contributing ideas. Until recently, they appeared to be very comfortable with the anticipated changes. If the current team proposal moves forward, however, the work unit will no longer exist and appears to be raising the level of uneasiness among this group.

In another unit, the supervisor strenuously objected to self-management early in the process. Her willingness to be flexible and accept change, however, and the unit's experience in a CQI process improvement team, has had a very positive impact on the group.

Another example of team evolution has been the experiences of the Acquisitions Management Team. At the onset of the formation of the team, members were aware that there were significant differences in styles. One member preferred quick action, mentally assessing a situation, weighing the options, preparing a defense, and taking action. The other was a consensus builder, acting after assurances that the plan is satisfactory to everyone. One abounds with ideas and really likes to get things moving. The other likes to make sure that all issues that may impact others are laid to rest. Obviously, a balance must be struck between creating change and keeping staff, suppliers, and customers moving forward. With time, this balance has been achieved more and more frequently. Few teams will develop without going through the expected steps of forming, storming, norming, and performing.[7] There is a fair amount of anxiety and frustration in learning to work and appreciate each other's skills. It is important to ensure that storming sessions are constructive and productive. This experience in modeling team behavior is providing the Management Team with a strong base for empathizing, sympathizing, and generally helping staff members form and maintain teams structures.

A more flexible department policy on flex-time has been another strategy to level the playing field between supervisors and staff. Every staff member has become personally responsible for ensuring their 40-hour work week. The only guideline is that they must operate within the framework of the university's flex-time policy. The rationale is that, if we expect staff to act as adults, we should treat them as such. This represents, however, a certain degree of risk, since other departments within the libraries have more rigid flex-time policies. Public service areas, for example, are not as free to accommodate fluctuations in staffing levels throughout the day.

Another strategy for encouraging team work has been to establish and commit to having weekly departmental meetings. These meetings provide a sense of belonging and an opportunity to communicate with each other face to face. The meetings have helped to eliminate some of the long standing competition that prevailed across the units by assuring uniform receipt of information and the opportunity to ask questions. The meetings include staff presentations, brainstorming sessions, and small group exercises to resolve problems and to provide training opportunities.

Another means of encouraging team activities is to establish group goals. For example, a goal for one unit has been to achieve 48-hour delivery time of our periodicals issues and serial volumes to our customers. At the beginning, this appeared to be a very formidable goal. The serials control data had just been migrated to a new system and a number of follow-up projects were in the works. The group, acting as a CQI team, evaluated the various needs of improving delivery time and completing projects. They quickly became aware of the importance of the customer and the need to reset individual priorities. Within six months, through cross-training and streamlining they were not only meeting, but also frequently exceeding the goal. Their accomplishments have been remarkable and their customers are very satisfied. As a side note, during this same period, they also were able to complete a number of the projects related to implementation of the new system,

The road to self-managed team work is not flat, straight, or predictable, but by coaching and training, some substantial successes have been achieved. The Acquisitions Department has been able to streamline a number of processes by eliminating rework and has been able to maintain workloads despite the reductions in staff by attrition and promotions from a high of 43 to 35 FTEs. On the whole, staff members are assuming more tasks, improving processes, working in more interesting jobs, sending signals of being more motivated, and appearing to be more satisfied with the work.

A PILOT TEAM

Another informal process for encouraging teamwork was the formation of the "Folio Team." The team was established in July of 1992. Originally, the objectives of the team were to coordinate the online firm orders with approval plans receipts and to resolve operational issues associated with our local implementation of a vendor's database. (The team's name was derived from the name of the database.) Based on recommendations by the team, the scope of their duties were shortly thereafter expanded to include the actual receiving of all of the approval plan materials. The Folio Team provides an opportunity for all of Acquisitions to directly or indirectly experience team work and, therefore, by default has become our pilot team.

Selected staff from both Ordering and Receiving were invited by the Acquisitions Management Council to serve on the Folio Team for whatever time required to get the job done. Originally, the selection process was based on individual skills and availability for participation. Invitations to serve on the team met no resistance. In fact, it was and still is considered an honor to be a part of this team.

The facilitator was chosen from the Council. She was selected because she had the least expertise in handling these particular materials, little experience in working with the designated members of the team, and therefore, was less likely to interfere in the team process. A facilitator is "not expected to have the content knowledge, which the team has" but is "expected to be the owner of the TQM problem-solving model." Her task is to teach the team to use the appropriate quality tools and to assist the communication process.[8] She has completed an extensive facilitator training program.

Folio Team members have continued to report to their traditional work units splitting their time between team and work group assignments as needed. At the onset, it was assumed that the work completed by the Folio Team would relieve existing work groups of some of their responsibilities creating an overall balance in the workload. For the most part, this assumption has held true.

As expected, the supervisors have had the most difficulty adjusting to the team's activities. Despite training, coaching, and the experiences of participating on CQI process teams, few of us were prepared for the level of freedom the team would need to carry out its mission. The biggest issue between the Council and members of the Folio Team, not surprisingly, has been one of communication. Supervisors expect to have a blow-by-blow description and knowledge of employee activities and to take part in all decision-making process for the operation, and rightly so in a traditional work environment. Supervisors have found themselves continually challenged to relinquish control.

The Council is serving as the team's sponsor and, as such, is responsible for its activities. The relationship between the two groups, however, has not always been an easy one. In the first few months, there were periods of uncertainty regarding the range of duties, freedom to act, and misunderstandings about the nature of the team itself. The team assumed it was an independent self-directed team from its onset. The Council, on the other hand, viewed it as an empowered work group reporting to the Council. To resolve this conflict, the Associate Dean facilitated a meeting between the teams. At the end of that session, everyone agreed that self-management required training, skills, and practice not yet acquired by the new team. Therefore, the group would have to be considered a work group. From its onset, however, the team has had the authority to make internal operational decisions. Representatives of the team confer, as needed, with the Council on activities that involve external suppliers and customers. While team leadership was never assigned, leadership has simply emerged from within and has changed from time to time as appropriate.

This group has engaged in fairly wide-ranging training opportunities, including cross-training, and is experiencing considerable growth. The Council has worked hard to provide an appropriate setting for self-management. In recent months, the Folio Team has matured to the point of being able to meet and resolve problems even when their facilitator has been unavailable.

They have made a number of operational decisions that have streamlined processes, recommended team membership changes that were readily accepted, taken over some supervisory tasks such as managing passwords, and recommended a change in vendor for a small approval plan that proved to be too costly to maintain. In the near future, they look forward to their first hiring experience as they assist in the process of hiring student assistants.

In essence, the team has become very effective in carrying out their assignments. Team members are very proud of their accomplishments. Why is it working so well? Some of it is founded on a little bit of luck based on team selection. There have been few personality clashes even though the selection process never focused on personalities. Success also appears to be based on individual commitment to the team and the trust that each member will act responsibly. A high degree of emphasis is placed on respect and understanding of each others needs. The team has been enthusiastic and cohesive in reaching decisions. As we move toward completing this restructuring process, they would like to remain together. One member of the Folio Team also serves on the Design Team. Her experiences have enabled her to make substantial contributions to Design Team discussions. The pilot is achieving exactly what it should.

TRAINING, TRAINING, AND MORE TRAINING

Finally, training efforts are helping the department and its members move toward a team environment. Since 1992, the university's Office of Human Resources and the libraries have offered a number of programs on quality processes and techniques. The level of participation by staff in university libraries has been very high, particularly in acquisitions. In a couple of instances, e.g., a session on "Working Effectively in Teams," the number of library personnel registering for courses has been high enough to warrant providing an additional session in the library to accommodate our special needs.

Approximately two-thirds of all of the libraries' staff have been involved in about 20-25 quality-related courses and training programs.

The management staff in acquisitions were provided with a course in situational leadership to help in this transition. Situational leadership provides a mechanism for working differentially with staff members based on their individual skill levels and maturity especially in terms of team experience. This and other instructional opportunities, such as facilitation training, are also supported by the university's Human Resource Development Office.

In addition, many of our staff have attended monthly programs, sponsored by the Total Quality Council of Central Pennsylvania. The Quality Council is a effort to introduce quality techniques to for-profit and non-profit enterprises throughout central Pennsylvania. Their programs are similar to those provided by the university. This added reinforcement from an outside source is really helpful.

Training provided by the Association of Research Libraries Diversity Consultant has also afforded an important avenue for understanding differences and provided a means for learning to respect, value, and work with each other's styles, backgrounds, opinions, and perceptions. Department staff learned the advantages that those differences bring to the workplace and the need to be attentive to them.

As mentioned earlier, using the department meetings as a training forum has often provided important opportunities for uniformly introducing quality ideas and techniques to members of the department. During these meeting, individuals who have participated in training opportunities report back to department members what they have learned. The Management Team shares their conference experiences with the staff. The Design Team's facilitator conducted training sessions on team stages and structures and communication techniques such as constructive feedback.[9]

At one point, a film series was introduced. The week in which the first film was scheduled, however, coincided with a number of other events in the library, creating conflicts for department staff. Since then, there have been difficulties in finding the time to schedule additional films, but the intent is to resume the series whenever possible. The film that was shown was Tom Peters' *A Passion for Customers*.[10] Peters is an energetic and inspiring speaker and is highly recommended to anyone who wishes to develop a customer focus in their organization.

The most informal training effort has been the building of a supportive reading collection. Typical of library personnel, almost everyone involved in this effort began exploring the libraries' collection on quality techniques and self-directed work teams. We share with each other monographs and articles that appear to best suit our needs. A small CQI working collection in the department has been developed and includes monographs purchased specifically for the collection and a variety of articles devoted to team building topics. The collection is freely available to all staff to browse and read during their regular work hours. Success, however, in getting staff to partake has been mixed. They read what they can in the little time that is available. The entire reorganization process has increased the amount of time spent on activities away from their regular tasks. Since Acquisitions is responsible for assuring full expenditure of the materials budget by end of the fiscal year, most members of our staff feel very pressed to focus on their primary assignments.

CONCLUSION

The entire process of restructuring to self-managed teams, must begin at the very top administrative levels of an organization including human resources. Clear, unambiguous signals of support should be felt by every staff member who, directly or indirectly, will experience such radical restructuring as a move to self-managed team. From a site visit to another self-managed team within the university, the Design Team and staff members learned, among other things, about the importance of having our customers and suppliers understand the nature of team work too. The involvement of the Dean in the Steering Committee and panel discussion, the service by our suppliers and customers on the Design Team, and the appointment of the Acquisitions Management Team to serve as a model for staff, have provided some of these important indicators to everyone in Acquisitions that the department has full organizational support in its drive to form self-directed work teams.

Despite the original desire on the part of department members to move in this direction and the support of the administration, there are still doubts, fears, and a mourning process for the "good old days" that must be overcome. This is natural and expected. Overcoming these obstacles will require an unwavering perseverance, considerable patience, constant training and retraining, and continual recognition of both team and individual efforts.

Success of the formal process of reorganizing to self-managed teams rests on changing individual behaviors. Those behaviors need to be reinforced through the informal processes of daily coaching, encouraging, delegating, and empowering and by managers continually modeling behaviors appropriate to team work.

It is very exciting to have an opportunity to assist in creating a whole new way of working by developing better mechanisms for communications and learning to trust and respect each others styles. The move to self-management creates an opportunity to leave a great legacy. One that will improve the workplace for our children and for generations of new workers who could reap the benefits.

NOTES

[1] Scott, Cynthia D. and Dennis T. Jaffe. *Managing Organizational Change* (Menlo Park, CA: Crisp Publications, 1989), 9.

[2] Wellins, Richard S. et al. *Empowered Teams* (San Francisco: Jossey-Bass, 1991), 1001-1125.

[3] Bennis, Warren. *An Invented Life: Reflections on Leadership and Change* (Reading, MA: Addison-Wesley Publishing, 1993), 90.

[4] Ibid, 88.

[5] Ibid, 90-91.

[6] Ibid.

[7] Zenger, John H. et al. *Leading Teams* (Homewood, IL: Business One Irwin, 1994), 90.

[8] Jurow, Susan and Susan B. Barnard. *Integrating Total Quality Management in a Library Setting* (New York: Haworth Press, 1993), 13-19.

[9] Moran, Linda and Ed Musselwhite. *Self-Directed Work Teams: A Lot More Than Just Teamwork*, 3rd ed. (San Jose, CA: Zenger-Miller, Inc., 1993), 13-19.

[10] Peters, Tom. *A Passion for Customers* (Escondido, CA: Blanchard Training and Development, 1987), Videocassette.

TQM: A FLAVOR-OF-THE-MONTH BUZZWORD OR STEP ONE TO DESIGNING PROCESSES THAT DELIVER CONTINUOUS VALUE TO THE CUSTOMER?

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INTRODUCTION

In *Beyond the Hype: Rediscovering the Essence of Management*, Robert G. Eccles and Nitin Nohria cite 56 words and phrases as examples of the "abstract panaceas for organizational revitalization"[1] that have been popular over the past ten years or so. Total quality makes the Top 56 List, as do best practices, downsizing, rightsizing, flattening, delayering, revitalization, restructuring, reengineering, the knowledge-intensive organization, the network organization, the self-designing organization, and knowledge workers. While I feel that today's business prose is filled with hype (words that are here today and gone tomorrow), clichés that leave us miles from nowhere, and proposed organizational frameworks that are centered in never-never land, I find it sad that total quality made Eccles' and Nohria's "management hype" roster. Whatever quality is — a sense that this is better than that or a way to bring about dramatic improvement in performance — it is not a flavor-of-the-month buzzword.

While I take exception to including total quality alongside such "new" notions as reengineering, I heartily recommend *Beyond the Hype*. Getting past today's rhetoric is necessary if we are to refocus on management basics. In particular, I concur with the authors that we must put "action back at the center of managerial practice."[2] While I believe that TQM is an action-based, results-oriented system that increases customer satisfaction and vastly improves chances for organizational success, I have to say that I understand why so many business journalists are today relegating TQM to failed-fad status. The number of bad quality programs simply outnumber good programs.

The adoption of off-the-shelf quality programs continues to lead to failure. Senior executives who really do not want to change — yet feel they have to go through the motions — continue to refer to their window dressing as TQM. Strong organizational underpinnings are not in place.

Hardly a day goes by when we do not read about quality programs having not lived up to expectations. In the October 18, 1993 issue of *Fortune*, we read that "Signs of disappointment are everywhere. It [TQM] was supposed to have had all the answers."[3] In the May-June 1993 issue of *Harvard Business Review*, Jeff Haley and Peter Cross write, "Our firm lost its direction implementing TQM. The owners viewed TQM as a marketing tool, enabling them to tout our company as being part of the fashionable total quality movement. But an empty TQM effort is worse than none at all. The announcement was made that we were to "go TQM." Management started the process by hiring a consultant to enlighten the work force on total quality concepts. We would be 'empowered' and a new culture would emerge."[4]

We are living in a period where business leaders have seen fit to shed responsibility for success and to put the burden for success on the worker. All too often executives embrace TQM — as they did quality circles and teaming — with the mistaken belief that the concept puts the onus on the workers. The truth is that when a company has problems, the buck stops with its leaders. W. Edwards Deming, Armand V. Feigenbaum, Joseph M. Juran, and Philip B. Crosby all agree that management is responsible for problems: "Where there is a quality problem, the odds are overwhelming that the problem is in the system, and since only management can change the system, management is to blame for the problem."[5] Because TQM must be woven into an organization's strategic objectives, quality must be introduced by executives who are both committed to continuously improving performance and willing to lead the effort.

From the start we should put to rest the notion that TQM is part of today's love affair with newness. Peter Scholtes, a consultant with Joiner Associates, says, "I suspect the first prehistoric humans discovered quality when they found out that they could do some things to make their lives better, to make their lives drier, to make their lives safer. They learned along the way to improve what they were doing, and they discovered quality."[6]

Lloyd Dobyns and Clare Crawford-Mason, in *Quality or Else*, say, "Certainly the need to manage for quality has been known for years." Andrew Carnegie, the American industrialist and philanthropist, wrote in his autobiography, "I have never known a concern to make a decided success that did not do good, honest work, and even in these days of the fiercest competition, when everything would seem to be a matter of price, there lies still at the root of great business success the very much more important factor of quality."[7]

Still others trace the quality vine as we know it today back to the late 1940s. "General of the Army Douglas MacArthur, Supreme Commander of the Allied Powers in Japan after World War II ... wanted reliable radios, a lot of them, so that the occupation forces' orders and propaganda programs could be heard in every town and village in occupied Japan, and when Japanese manufacturers in the 1940s couldn't give the general what he wanted, he sent for Americans to teach them how."[8]

Whatever TQM is — an evangelical movement which can help organizations discover what their customers need or a first-order step in bringing about effective change — it is not a word that is going to disappear from our lexicon. Whether you subscribe to Peter Scholtes' view that quality dates back to prehistoric times or you see the vine taking root in Japan after World War II, the urge to improve the way we live and work has always been part of man's nature. In TQM we discovered the system by which we can bring about continual performance improvement. The next step is to work the total quality process into overall business objectives.

TIME TO GET POSITIVE

An army of consultants and journalists would have us believe that we live in a uniquely chaotic era which requires radical and revolutionary change to set things right. Eccles and Nohria ask, "Are we living in a period that is truly in transition from the Industrial to the Information Age? Are we moving from one historical epoch to another, during which radical and fundamental changes are taking place in organization and work? Are we witnessing the demise of one of the most successful social inventions in human history — the bureaucratic (in the nonpejorative sense, if that is still possible) organization? Or are all these revolutionary claims mere rhetoric?"[9]

I think that every leader and manager views his or her era as especially provocative. In *The Essence of Leadership*, Michel Robert says, "The next trend that will become accentuated in the twenty-first century will be that of competition."[10] Those days of the fiercest competition past are now the days of the fiercest competition present. I wager that twenty-first century managers will also refer to their era as these days of the fiercest competition and focus their energies, as we have, on developing the new organization. Eccles and Nohria point out that "Alternative ways of thinking about organization have been with us for as long as people have thought about management itself — which is to say, at least a few millennia."[11] They also point out that "When it comes to the basics of management, there is little new under the sun."[12]

While we certainly do live in challenging times, I don't believe that we should approach change with a revolutionary mindset. Rather, we need to adopt a positive change attitude. Some may view this philosophy as bordering on heresy. Could the dozens and dozens of change books of the last ten years that exhorted us to revolutionize our workplace have been promoting hysteria rather than useful management concepts? Could have the hundreds and hundreds of magazine and journal articles that promoted off-the-shelf cure-alls for management ills been wrong? Well, some business experts are beginning to realize that there are no simple prescriptions to complex management issues. In a recent *Harvard Business Review* article, Nitin Nohria and James D. Berkley write, "In the majority of cases, research shows, the management fads of the last fifteen years rarely produced the promised results."[13]

Some business experts are beginning to question this concentration on newness and are asking, "Where have the leadership skills that successfully transitioned us through centuries of change gone?" The plethora of panaceas of the last ten years or so have not provided needed focus to American business. Some, like reengineering, have preached "revolution." Others have centered on "transformation" and "reformation." Eccles and Nohria say, "The quest for new organizational practices — for new words, new structures, new designs, new systems, and new strategies — has become a rather frenzied pursuit. We certainly do believe that change and innovation are important. Yet our experience and research has also led us to the conclusion that a certain skepticism of newness is necessary — that the constant talk about 'new practices for a new age' is short-sighted and may lead us both to misunderstand the past and to ignore what is really important in organizations."[14]

As an example of the crisis mentality that pervades today's management prose, Michael Hammer and James Champy say, "A set of principles laid down more than two centuries ago has shaped the structure, management, and performance of American businesses throughout the nineteenth and twentieth centuries. We say that the time has come to retire those principles and to adopt a new set. The alternative is for corporate America to close its doors and go out of business. The choice is that simple and that stark."[15] "Stop, right there," Hammer and Champy seem to be saying to American businesses (for-profit and not-for-profit, alike), "and cross to our side of the street. Bring nothing with you from the past or the present. Do exactly what we tell you to do or prepare to die!" This statement is an example of the exaggerations existing in the crisis mentality.

I find prescriptive business writing that preaches revolution, reformation, and transformation self-serving and counterproductive. I don't believe that we have to start over and create something totally different in order to be successful today. Rather, we need to converge the best of the old and the best of the new. Joe A. Hewitt, Director of Libraries at the University of North Carolina at Chapel Hill, says, "I am especially concerned that the rhetoric of change has failed to form a sound basis for reasoned and nuanced transition strategies that will preserve the best of the present while capitalizing on advanced technologies."[16] And that's the problem: Change prose, all too often, centers on tomorrow and ignores yesterday and today.

We need to get back to leadership basics. According to Michel Robert, "Thinking has become a lost skill in American business."[17] My sense is that this critical skill has not been lost but dulled by coarse rhetoric. Senior executives and managers have to sharpen their ability to think strategically, to think creatively, to make decisions, and to develop a culture that encourages everyone to innovate.

I spoke at the University of Oklahoma Libraries 1994 Conference and invoked the "risk" rhetoric, quoting Dow Chemical's CEO, Frank Popoff, who said, "I want to continue to develop our real strength: our people ... we need to liberate and empower people to do their jobs. That will produce workers and managers with the guts to take a chance."[18] Some weeks after the conference, I decided that "risk" and "chance" were rather ambivalent words that smacked of today's hype. I don't want to come across as recommending that libraries develop a cadre of pistol-packing employees who roam the hallways looking for risks and chances that they feel are in season. Rather, your objective should be to educate people so that they can both recognize opportunities that already exist and use change to create new opportunities. There has been much talk of late about the risk-taking traits of entrepreneurs, about librarians becoming more entrepreneurial. This entrepreneur has always followed a business creed that says: Don't even think about taking that step, making that move, unless the odds favor success. I don't call that risk-taking; I call it exploiting opportunities. Leaders need to begin to motivate their people to innovate because new ideas produce opportunities.

We need to focus on expanding our organizations. Unfortunately many leaders today are so caught up in downsizing, rightsizing, and delayering that they have forgotten that their charge is to lead. In the October 21, 1993 *Wall Street Journal*, Peter F. Drucker writes about "The Five Deadly Sins." He says, "The last of the deadly sins is feeding problems and starving opportunities." Today, far too many talented managers have been assigned to problems by their leaders rather than to nurturing opportunities. Drucker warns, "All one can get by 'problem-solving' is damage containment. Only opportunities produce results and growth."

Leaders have to extricate their key people from containment activity and, together, start to think of ways to expand the business. Expansion is driven, in part, by loyal employees doing quality work and by loyal customers who keep coming back, bringing others with them. Paraphrasing the Golden Rule: If a company wants loyal employees, it must be a loyal employer; if a company wants skilled employees who will meet customer quality expectations, it must train its people.

While the definition of quality has changed over the years — from yesterday's focus on product to today's focus on interfacing the business with its customers and suppliers — quality itself is basic, and focusing on basics keeps you attending to what's important: strategy, innovation, and action that is centered on taking care of employees and customers.

American leaders have brought strategy,

innovation, and action to bear on challenges many times before and we can do it today even though business attention has shifted from quantity to quality. Dobyns and Crawford-Mason say, "The people who made policy in American business in 1945 decided that quantity was more important [than quality]. That decision was neither callous nor venal. Other industrial nations had been damaged or destroyed, so America had to supply much of the world's needs and, equally important, buy the goods other nations could produce. At the same time, U.S. industries had to satisfy the domestic demand, which was incredible. To mass produce anything you need the parts, a way to put them together, and an efficient way to organize the work. Americans had discovered how to do all three."[19] The decision to produce quantity in the 1940s was a right decision for the times; it proved to be the engine that drove an economy that became the envy of the world, and it also met prevailing quality expectations. Today the right decisions for these times has already been made. Quality is no longer an option; it is an imperative. Customers' expectations and choices have increased in this technological culture. It's time to move away from words, clichés, and the obsession with newness. This does not mean that we close our eyes to new ideas; we should stay flexible and look at new managerial concepts that more fully utilize those skills and structures which have withstood the test of time.

Change is fundamental to all times. We need to ignore the crisis and doomsday rhetoric that is daily in our face and focus on leadership basics: strategy, innovation, and action. American business leadership does not lack the abilities and resolve to compete and win. The problem is one of leadership focus.

REQUISITE UNDERPINNINGS

Dobyns and Crawford-Mason say, "A quality program ... is extremely difficult and time-consuming to implement; there is no easy way."[20] Douglas Schaffer, writing in the September 1993 issue of *The Journal for Quality and Participation* states, "The reason for total quality's existence, and the only justification for the enormous sums of money invested in it, is increased customer satisfaction and improved competitive position."[21] Given the degree of difficulty, the time demands, and the financial investment, one can say — with a certain degree of certainty — that TQM should not become every company's cup of tea.

A few companies are getting along just fine without a formal quality program and they probably should not tinker with their success. Then there are many organizations that simply do not have the requisite foundation to get a real quality initiative off the ground. In between the "few" and the "many" are the tens of thousands of businesses that can benefit from TQM. Therefore it is useful to discuss the five critical underpinnings that must be in place before committing to TQM.

Strong leadership. Michel Robert says, "There are three fundamental skills of leadership. Without these, the leader will not be followed. The first skill is strategic thinking. It is the thought process used by a leader to formulate, articulate, and communicate a coherent strategy and vision for the organization."[22] Oz Nelson, CEO of UPS, says, "The bottom line is that as a CEO, you have to create a vision and coax your organization to embrace it."[23] The second leadership skill, according to Michel Robert, is innovative thinking. "Companies need to constantly find new opportunities in order to grow. He or she [a leader] must understand the process of innovation and be able to instill it in every member of the organization. The third skill is the ability to deal with operational problems and decisions successfully."[24]

If your management team is made up of individuals who can think strategically, think innovatively, and make decisions, then you have the most important TQM underpinning in place. If you do not have a strong management team, put your quality discussion or plan on a back burner. If skills are lacking, take time to learn them. You may discover that the issue is not one of skills, but rather one of timing: 1) key management positions are open; 2) staff is young and inexperienced; 3) the team is presently overwhelmed. If this is the case, then first take time to fill positions, mentor youth, deal with urgent needs.

Mission and Vision. Library leaders, in addition to fielding a thinking management team, must also craft a mission statement that outlines the purpose and direction of the library and articulates a strategic vision of what the business will look like when it gets where it wants to go. Susan Lee, Associate Librarian, Harvard College Library, says, "HCL's 1990 Strategic Planning Process was the beginning of an effort to redefine our organization both for now and for the future. The articulation of a revised mission, and, more critically, the development of a vision statement were the beginning of a continual struggle for redefinition."[25]

In a supplement to the March 1994 issue of *Chief Executive* magazine, we read that "Companies must recognize what they do best. That is, they must know what differentiates them from their competitors, and what they might need to do to improve."[26] All of the people in the library must know what business they are in, understand the strengths and weaknesses of the library, and be focused on improving every process that is critical to success.

Before you can even begin to plan a quality initiative, you'll have to answer: "What business are we in?" Then you can ask: "Why are we considering TQM?" Douglas Schaffer writes, "A company must begin the improvement process by defining their strategic business goals and integrating these into a plan to significantly improve organizational performance. The first step, analyzing the situation that creates the need for action and clarifying what needs to be accomplished, is probably the most important and the most overlooked."[27]

Involving your human resources (HR) staff in the planning and evaluation process is critical. All people are not equal when it comes to coping with change and your HR staff must be both willing and able to play a critical role in helping employees acquire new skills and adjust to new responsibilities. Their commitment must be long-term. You will need HR's involvement during planning and implementation and "timing" should be a subject that is addressed early. Susan Lee writes, "The change process begun in 1990 can by no means be considered complete. After three years some people still resist, ignore, and blame, feeling no obligation to contribute to the process in a positive way."[28]

Training Staff. The strength and availability of your training staff is another key underpinning. YBP's training budget has more than quintupled since the company adopted and adapted TQM in 1990. In implementing TQM, I discovered that we had not conducted a new employee orientation in over six months. We discovered that on-the-job training was usually being conducted by the least productive employee. Managers didn't want to assign their top people to training and even if they did, most did not possess the necessary skills to teach others. Therefore, we instituted a "train the trainer" program. Rather quickly, other red flags appeared. We subsequently instituted ongoing monthly seminars for employees that cover a wide range of topics, including time management, negotiating skills, managing change (the most popular to date), and listening skills. The last is my personal favorite as I have discovered that listening skills are so very important to the success of any change process. Smilla Jasperson, the heroine in Peter Hoeg's fine novel, *Smilla's Sense of Snow*, says, "Very few people know how to listen. Their haste pulls them out of the conversation, or they try internally to improve the situation, or they're preparing what their entrance will be when you shut up and it's their turn to step on stage."[29]

TQM is the engine that also drove us to implement a supervisor's training program and a management development program. Dobyns and Crawford-Mason note that "Juran says that the three most important items in a quality program are that the top people be in charge; that the people be trained in how to manage for quality; and that quality be improved at an unprecedented pace."[30] Don't even think about TQM unless you are both willing and able to increase your training budget.

Internal and External Communications. Very few companies are great at communicating to employees or to customers. TQM will require that you improve your internal communications. Employees will not support TQM unless they are brought into a dialogue. Since quality is work force centered, employees should not have to deal with surprises. They must have a say in how their work is to be done. They must also understand the reasons why the organization is focusing on TQM, as well as the goals that have been set.

Most companies use a variety of tools to communicate — from monthly newsletters to quarterly staff meetings. While these can be useful, they are rarely enough. Rapid change requires frequent and effective communications. I'm a fan of weekly department meetings during which organizational goals can be updated, as well as departmental issues discussed. I also believe that senior executives should rotate through these meetings, be in attendance for part of each meeting, talk and listen to employees.

TQM will also require that you improve your external communications. I strongly suggest that libraries develop marketing strategies; create a marketing plan that effectively communicates the essence of its mission and vision statement to students and faculty. Libraries must build their customer base and if libraries want loyal customers, the customer has to be made aware of the library's strengths. Like the "listen to employees" component of good internal communication, good external communication involves listening to customers. Librarians frequently tell me that they have adopted a TQM program because they want to "get closer to their users." I ask, "Do you know how your users view your library today?" Usually, the librarian cannot answer the question to his or her own satisfaction. Then I ask, "Do you understand what value-added services your users will be expecting tomorrow?" More often than not they shake their head. Dobyns and Crawford-Mason say, "It is now generally recognized that the customer defines quality, but you have to stay ahead of the definition, meeting as yet undefined customer needs if you want to stay in business."[31] I'm a fan of issues and trends dialogue and we regularly bring together librarians and publishers so they can talk and we can listen. As more librarians bring faculty and students together — to conduct a dialogue — more librarians will understand how their customers view their library today and what tomorrow's expectations are.

These five foundation blocks are essential to the overall success of a business — any business. I believe that these underpinnings are equally important to the success of libraries. No company or library should undertake a quality program until the strength of all five underpinnings has been assessed and judged able to support the effort.

While many librarians, understandably, do not view the library as being a business, nor themselves as a businesswoman or businessman, they are, nevertheless, being admonished to become more business-like. Since I'm still not sure what more business-like really means when directed at the not-for-profit sector, I've temporarily resolved my dilemma by defining your charge to mean: Initiate those business activities that will enable you to be more successful. Quality is not the only business word that should be evaluated by libraries as they seek to become more business-like. The first two words on my list of business words that I feel librarians must become more comfortable with are "competition" and "marketing."

There are three other topics that I think are important to quality in libraries. The first concerns the language of business. When I use business jargon when talking with librarians, I often sense an air of discomfort. Yet, if "become more business-like" means to do as business does — from organizational design, to mission, to vision, to strategic goal setting, to positioning, to marketing — then librarians need to become more familiar with and accepting of the language of business. As libraries begin to take concepts, such as TQM, from Corporate America, the need to communicate becomes all-important. I recommend reading business literature such as, *Business Week*, *Fortune*, *Harvard Business Review*, and *The Wall Street Journal*.

The second concerns knowing your competitors. This is a concept that I believe many librarians find particularly troublesome. My answer to "Why?" is rather straightforward: Libraries are not going to escape the competition trend Michel Robert talks about in *The Essence of Leadership*. You already work in a competitive environment. There is today's intra-institutional competition for funding, and tomorrow's information superhighway. To get your fair share of resources you need to know who you are today and who you want to be tomorrow, and you need to know who your competitors are today and who will be knocking on your door tomorrow because they can put you out of business.

The last topic has to do with the pace of change that you should seek as you redefine your library. You have undoubtedly discovered by now that I'm not a fan of reengineering. I find its "heavy blasting" approach to improvement dangerous because of its insensitivity to the human side of change. Federal Express CEO Frederick W. Smith says his company "from its inception, has put its people first because it is right to do so and because it is good business as well. We refer to our employees as our most strategic asset because, quite simply, they are."[32] While not a fan of revolutionary business concepts, I am a fan of incremental improvement. Susan Lee says, "In changing an organization's culture, it is essential to remember that many small steps create change. Singles can win games, particularly when you get enough of them. At the Harvard College Library we are focusing on building small wins and making continuous progress."[33] Robert Schaffer and Harvey Thompson in "Successful Change Programs Begin with Results" urge businesses to replace "... large-scale, amorphous improvement objectives with short-term, incremental projects that quickly yield tangible results."[34] If you already have a TQM program in place, I urge you to stick with it. Avoid being seduced by panaceas that promise fast-paced improvement. If you don't have a continuous improvement program in place and are thinking about funding a revolution, don't. Take another look at TQM.

Let me simply say, from personal experience, that TQM works. Alone, it will not enable businesses to meet their strategic objectives, but it will play a big part. TQM is woven into my company's strategic business plan and continues to help us meet goals. In 1986, we employed 154 people. Today, we number 175 — a 14 percent increase over eight years. Our sales during the same eight-year period increased 200 percent. TQM works!

NOTES

[1] Robert G. Eccles and Nitin Nohria. *Beyond the Hype: Rediscovering the Essence of Management* (Boston: Harvard Business School Press, 1992): 2.

[2] Ibid., 2.

[3] Rahul, Jacob. "TQM: More than a Dying Fad?" *Fortune* (October, 18, 1993): 66.

[4] See Daniel Niven. (Case Study) "When Times Get Tough, What Happens to TQM?" *Harvard Business Review* (May-June 1993): 25.

[5] Lloyd Dobyns and Clare Crawford-Mason. *Quality or Else: The Revolution in World Business* (Boston: Houghton Mifflin Company, 1991): 97.

[6] Ibid., 50.

[7] Ibid., 35.

[8] Ibid., 10.

[9] Robert G. Eccles and Nitin Nohria. *Beyond the Hype*, 19.

[10] Michel Robert. *The Essence of Leadership* (New York, NY: Quorum Books, 1991): 3.

[11] Robert G. Eccles and Nitin Nohria. *Beyond the Hype*, 25.

[12] Ibid., 26.

[13] Nitin Nohria and James D. Berkley. "Whatever Happened to the Take-Charge Manager?" *Harvard Business Review* (January-February 1994): 129.

[14] Robert G. Eccles and Nitin Nohria. *Beyond the Hype*, 4.

[15] Michael Hammer and James Champy. *Reengineering the Corporation: A Manifesto for Business Revolution* (New York, NY: HarperCollins Publishers, 1993): 1.

[16] Joe A. Hewitt. "Transcending the Rhetoric of Change," Unpublished paper delivered at North Carolina Library Association's 1993 Biennial Conference, October 20, 1993: 3.

[17] Michel Robert. *The Essence of Leadership*, Preface.

[18] See Cover Story, "Street Fighter," *Chief Executive*, 83 (March 1993): 37.

[19] Lloyd Dobyns and Clare Crawford-Mason. *Quality or Else*, 17-19.

[20] Ibid., 5.

[21] Douglas S. Schaffer. "Why Total Quality Programs Miss the Mark," *The Journal for Quality and Participation*, 16 (September 1993): 18.

[22] Michel Robert. *The Essence of Leadership*, 10.

[23] See Cover Story. "The Wizard is Oz," *Chief Executive*, 92 (March 1994): 46.

[24] Michel Robert. *The Essence of Leadership*, 10.

[25] Susan Lee. "Organizational Change in the Harvard College Library: A Continued Struggle for Redefinition and Renewal," *The Journal of Academic Librarianship*, 19 (September 1993): 226.

[26] See CEO BRIEF, "Approach to Transformation," Supplement to *Chief Executive*, 92 (March 1994).

[27] Douglas S. Schaffer. *The Journal for Quality and Participation*, 16 (September 1993): 20.

[28] Susan Lee. *The Journal of Academic Librarianship*, 19 (September 1993): 230.

[29] Peter Hoeg. *Smilla's Sense of Snow* (New York, NY: Translation copyright by Farrar, Straus and Giroux, 1993): 42.

[30] Lloyd Dobyns and Clare Crawford-Mason. *Quality or Else*, 70.

[31] Ibid., 73.

[32] Ibid., 114.

[33] Susan Lee. *The Journal of Academic Librarianship*, 19 (September 1993): 230.

[34] Robert H. Schaffer and Harvey A. Thompson. "Successful Change Programs Begin with Results," *Harvard Business Review* (January-February 1992): 86.

TQM — WILL IT WORK IN YOUR LIBRARY?

Karyle Butcher
Oregon State University Libraries

WHY ARE LIBRARIES USING TQM?

Total Quality Management, Quality Management, Continuous Improvement — whatever the label you choose, it is changing how libraries do business. Why is this so?

- **Scarce Resources.**
  Libraries have fewer resources available to them today then they have had in the past. At the same time libraries are facing a demand for more and additional services.

- **Changing Customer Expectation.**
  Our users want more and they want it at their convenience. Technology is changing who our users are and how they access our collections. Whether access is from an office or dorm on campus, from a distance education site or from across the country, library users want access. They want delivery and they need training.

- **Changing Role of Top Management.**
  The role of top management is changing dramatically. We are moving from hierarchical organizations to what Peter Senge calls "learning organizations."[1] How do we create and sustain such an organization?

TQM AT OREGON STATE UNIVERSITY

For many of these reasons, Oregon State University began learning about and implementing Total Quality Management on campus in 1989. The university went into TQM in a very traditional manner starting with a series of training sessions for the President and his cabinet and continuing training down through the organization to the Academic Deans Council and from there to the colleges and departments.

In 1990, the library had its first introduction to Total Quality when Ed Coat, then University Vice President for Finance and Administration, did an hour presentation at a library staff meeting. Library reaction ranged from mildly interested to dismay that the university was embarking on one more management fad. However, Library Administration was interested and decided to undertake a three-day TQM training/orientation session. This session included the Director of Libraries, the three Assistant University Librarians and the eight library Division heads. Our intent was determine if there was something about TQM which we could use in our library.

Although we were by no means in agreement about the applicability of TQM to a library setting, we had enough agreement to be willing to support some trial teams. Using as a starting point the critical issues which had been set forth in the training session, two teams in Public Services were defined. I have detailed the experience of these teams elsewhere so I will simply say we started pretty raw and learned a lot as we worked our way through the TQM processes as set forth at Oregon State University.[2]

IS IMPLEMENTING TQM ALWAYS EXPENSIVE?

Although the two teams we started with at Oregon State were able to implement solutions which have improved library service, the cost in staff time seemed too high. Time was spent to train the team leader, an outside facilitator was always used and staff met regularly for two hours per week for almost a year. Although the immediate supervisors approved the time away from the work unit, the team members felt incredible pressure to keep up with their work flow.

In talking with other libraries, I have learned that many librarians wanting to explore using TQM tools in their libraries were nervous about doing so because they believe they did not have adequate resources to do so. At Oregon State University, we have a full-time TQM trainer and the expertise of many faculty and staff to draw from. Many libraries are not as fortunate. Even in my library, faculty and staff are reluctant to embrace TQM because they fear they cannot commit time to it.

Many small businesses have already been struggling with this problem and have found ways to implement those procedures, principles, and tools of TQM which they believed would benefit their business. For TQM to truly change how we do business in librarianship, we can and must make similar adaptations. Someone in the organization needs to understand the basic concept behind quality management and to be responsible for learning the tools, teaching others and guiding the team process. This need not be a lifetime or even full-time commitment. In addition to articles and conference, there are many good videos available for instruction. Moreover, there are also many libraries and businesses using quality management tools who can act as resources.

WHAT CAN A LIBRARY DO?

A library seeking to use TQM must first have top level support for making change. Next the library should provide resources for someone on staff to read about and attend workshops on quality management. Most libraries are already using many of the techniques of quality improvement. They realize the importance of providing good customer service and of encouraging staff participation in decision making. What is lacking in many libraries is a systematic method for insuring that these things happen as a matter of course. Few libraries have ongoing mechanism for measuring user satisfaction or exploring user needs; library employees have limited responsibility for resolving customer complaints. Finally, libraries often do not have well defined processes with clear areas of responsibility — thus making it difficult to determine who can change what. This can lead to situations where customer needs and library resources are no longer in synch.

TQM can offer libraries a systematic method for examining and changing the ways in which they do business. It can help libraries better utilize staffing and financial resources in order to provide continuously improved service. Moreover, a systematic approach to problem solving involving all staff at all levels can aid in removing the guesswork from decision making. Decisions are data driven. Teams using TQM tools understand how they reached a solution and they know what to change if the solution they implement does not work. Part of the empowerment of TQM comes with the demystification and standardization of the decision making process.

HOW CAN TQM BE MODIFIED?

Calvin Boyer in his book *Scholarship Revisited* [3] notes that scholarship includes the scholarship of application. As librarians we have a role to play in reconceptualizing quality management as it is practiced in business and even in the rest of the university and apply it to a library setting. We need to determine what Deming was trying to accomplish for business and incorporate those ideas into our work. Furthermore, in order to bring the ideals of quality management to everyone in the profession, we need to determine how libraries with smaller staffs and/or limited resources can take advantage of the TQM problem solving methodology.

SOME CAUTIONS

TQM takes a lot of time so it is best to start small. TQM is not appropriate for solving personnel issues. TQM is a tool for continuous improvement. It is not a panacea for a sick organization. TQM teams must be cautioned against "knowing the answer" at the onset. Finally, teams must be made up those people who do the work. A team member with no ownership in the results can hinder the entire team.

SOME LESSONS

The jargon of TQM is offensive to some people; do not spend much time trying to change their minds. Some library staff can not accept that business practices could be applied to an academic setting. Everyone worries about finding time in an already busy schedule — this is where support and reassurance from management comes in. Keep it simple and keep the teams small. Cross-departmental teams are hard to manage. Someone on the team or working with the team must fully understand the basic steps to follow in order to implement continuous improvement. Some employees dislike the hype of TQM and will want to avoid using it.

WORDS OF ADVICE

While it is possible to modify quality management tools to fit a particular library, it is critical that the essentials of the TQM problem solving model be thoroughly understood before undertaking modifications. A basic concept of quality management is that processes are analyzed and measured, that the customer is a primary partner in decision making and that decision making must happen at the team level. Any changes to TQM must incorporate these ideas.

USEFUL TQM TOOLS

An examination of the OSU TQM teams and some investigation into the TQM tools used by small businesses leads me to conclude that libraries should include the following components any application of quality management. All teams should use the following TQM problem solving tools.

1. **Teams.** Teams are basic to implementing quality management. Most teams will need help. If there is a place to spend money for outside help, this is the place to do it. TQM depends on employees working in teams. Team building exercises can help turn a group of people into a functioning team. Such exercises should include, among other things, discussion on team responsibilities; how the team will run itself; how the team will reach decisions; how the team will handle differing opinions and how the team will report its decisions. Teams also must be provided with a clear focus. What does the team sponsor want to accomplish. Finally, the team needs to believe that management will support them through the TQM process. Clarity of expectations is a must.

2. **Customer Survey.** Every team should start with a customer survey. This need not be elaborate but the team has to determine if the problem set forth by the sponsor is truly a problem for the library user. Once this information has been gathered, the team should identify what seems to be the major contributor to the problem. This can easily be done with the Pareto chart which graphically illustrated that 20 percent of the problems result in 80 percent of customer

dissatisfaction.

3. Flow Chart and Diagram. Once the team has identified two or three problems, they can flow chart the process. The flow chart will show them what is currently happening with a process. At this point, the team may be able to move ahead with some obvious fixes. If this is the case, the team should do so. This idea of "picking the low hanging fruit" not only corrects obvious problems but is also an encouragement for the team.

The next step is to look at those problems with less obvious solutions and diagram the causes. A fishbone diagram will help the team to consider and reconsider how a process might be changed. This technique is an effective method for getting the team to go deeper than the obvious solutions.

4. Data. Once the team has identified probable causes and solutions to a problem, it must have data. Data allows the team to measure what has gone before and how to measure the results on any solutions which are implemented. This part of the TQM process can be time consuming and confusing. Each library must identify its important measures, what data it wants to collect and how to collect it. Knowing this information will keep a team on track.

Statistical gathering is important for benchmarking which allows a library to compare its performance with that of another library or other organization. As a profession we are still new to benchmarking but as more libraries measure their processes we will have useful comparators.

Finally, a team will implement solution and continue to check to determine if the solution is solving the problem. If it is not, they will go back to the data and if it is, they will move on to the next problem.

CONCLUSION

All libraries can learn about and use these tools. Although a first team may be slow going once the TQM process has been gone through and staff understand how to use it, the library has a very powerful means for decision making. Committees and taskforces can easily incorporate the basic TQM tools into their decision-making model. At Oregon State University, we have had over 130 TQM teams. In the library we have had two teams which went through a rigorous TQM process. We have had several processes which we used TQM methods to improve. These have been in both Technical Services and Public Services. We are currently having a team look at a process, document delivery between the main campus library and the coast branch, which is unusual in that our external customers are satisfied with the service but out internal ones, e.g., staff in the two locations, are not. Even where we are not calling it "TQM" we use the TQM methodology especially the customer survey, flow charting, and data gathering. Resources, both financial and people, are allocated in a manner which addresses user needs efficiently and effectively. As decision making moves away from management to those doing the work, library management has more time to look for solutions to those issues which can not be solved through TQM.

A library choosing to implement TQM should do so because that library is truly desirous of moving to a decision-making model based on data, employee involvement, and customer input. Remember that TQM is not an end unto itself, but simply a set of tools with the potential to help libraries become more responsive organizations and to utilize resources in the most effective manner possible. It is not a cure-all and it should not be a burden to library staff. Total

Quality Management, Quality Management, Continuous Improvement — they are simply one of the many management tools available to us. There is, alas, no simple or quick fix.

NOTES

[1] Senge, Peter M. *The Fifth Discipline: The Art and Practice of the Learning Organization.* New York: Doubleday Currency.

[2] Jurow, Susan and Susan B. Barnard, editors. *Integrating Total Quality Management in a Library Setting.* The Hawthorne Press, Inc. 1993

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PLENARY SESSION 2: PERFORMANCE MEASURES

INTRODUCTION

Barton Lessin
Wayne State University

(CUSTOMER + QUALITY + PERFORMANCE)/MEASUREMENT = BENCHMARKING

William Grundstrom
Quality, Benchmarking, Teams, Partnerships

MR. LESSIN: If you were with us last night for the expert session, then you know that we have with us a gentleman who is truly devoted to his flip chart virtuosity, so, rather than keep him from that, I will begin our session.

It's my pleasure this afternoon to officially welcome and introduce William G. Grundstrom, who is an experienced consultant and trainer in the technologies of quality, benchmarking, creativity, teams, and strategic alliances. William has experience in both the public and private sectors, and has an extensive background in the technologies of benchmarking. William G. Grundstrom, DBA, maintains strategic service alliances with several organizations including the American Productivity and Quality Center, Motorola University, The James Group, and Total Quality Consulting.

Some of the benchmarking topics that William has worked with are: performance management, order through delivery and subprocesses, executive staffing, customer service, strategic planning, cultural transition of management, education and training, the integration to organizational issues, quality systems, rewards and recognition systems, employee satisfaction, and process reengineering.

William Grundstrom has been employed as Senior Vice President of the American Productivity and Quality Center, Director of Special Products, Clients' Services Manager, Product Manager for Motorola University, Motorola, Incorporated, and has owned his own businesses. He has 25 years of experience in the field of individual and organizational development. Mr. Grundstrom has a bachelor of science degree from Northern Michigan University and a master of arts degree from Arizona State University in individual and organizational development and has participated in postgraduate programs from Michigan State University and Arizona State University.

The title of his presentation this afternoon is "Customer Plus Quality Plus Performance Divided by Measurement Equals Benchmarking."

MR. GRUNDSTROM: Thank you very much. It's kind of dangerous to be called an expert. The one good thing is that I'm from out of town, and sometimes you can get away with that.

Can you hear me without the lavaliere? I was fooling around with it at the lunch break and I rattled quite a bit when I moved. I'm going to follow Dan's lead of moving while I talk.

I want to get you back to reality here. I'll give you a quiz. I'm talking about performance measurements. That's a scary topic, performance measurers. Most organizations have more measures than they need. It's pretty easy to put measures in place. The issue is to get the measurers that are important and identify them. Often you wind up taking surveys to get an idea. I'm going to do a little survey, or a quiz, with you.

I would like you to look at some shapes and pick them out. Pick out a shape that you think best meets your personality or that you're impulsively drawn to. You have A, B, C, and D. Look at the shapes, pick one out that matches your thinking and maybe what you've been doing at the conference. Do you have one? Does everybody have one? Okay. Now let's see how you scored.

How many A's were there? Any A's? Oh, my gosh. It doesn't make sense. It's logical. How many B's? You're system thinkers. That's pretty good. You need to be a system thinker. I hope you spotted those folks. How many of you picked C? Complex, high expectations. How many picked D? Look at those folks. You're preoccupied with sex and booze. Are you with me? That was your wake-up call.

If you take this quality stuff seriously, it gets kind of frightening. I think you have to use a lot of common sense. Earlier, yesterday and during the sessions, I heard people talking about common sense, and that's one of the very important aspects of quality — that you think with a common sense approach to things.

You also have to give it time to work and become part of the system. You're really changing the culture; you're changing behaviors. It isn't easy to do those things.

We mentioned a lot of movements that have happened, starting with things like MBO or TA. How many know what TA is? What were a couple of descriptive words about TA?

AUDIENCE: I'm okay and you're okay.

MR. GRUNDSTROM: There were also warm fuzzies and then cold pricklies. I tried teaching that stuff once, and when I got to the point that you could give people warm fuzzies or cold pricklies, usually everybody broke up.

This is the last of four or five pages about those movements that have happened. Here is what some of them are now looking at: culturalization. Can you think of a major corporation in the United States that's concerned about culturalization, whose CEO has talked about it in the last two weeks? Ford Motor Company. Charltman wants to have a global company not focused from the U.S. perspective. Charltman's concern is that we manage in the global marketplace and have a global perspective of life — flexible and adaptive.

There's another word I would throw out there and the word is "speed." How quickly can you respond to situations? There are two good examples where responding or not responding quickly was very important. One involved a hamburger maker on the West Coast. Do you know the chain? What was it?

AUDIENCE: Jack in the Box.

MR. GRUNDSTROM: Jack in the Box. What was the problem? We're still not sure. Another one had a problem with soda pop and things in cans.

AUDIENCE: Pepsi Cola.

MR. GRUNDSTROM: Pepsi Cola — syringes in cans. Within three hours of the claim, the CEO from Pepsi is on video explaining their process with complete documentation and proving to the audience, you and me, that no one could put a syringe in the can in the factory; that it was an after-sale activity. In a matter of three or four hours, they solved the problem of customers abandoning Pepsi because their process was documented and defined, and they could respond quickly. They had it defined. So that was an example of speed, of responding quickly, while Jack in the Box is still in trouble. Their processes were not understood and not defined, so they could not explain them.

Another company had a problem. Saturn had a bunch of recalls. When they got through with the problem, they had actually built client and customer loyalty because of the way they responded to it. There's an example of being understanding, flexible, adaptive, and responsive to the customer needs, being total customer satisfaction learning organizations. A learning organization means that it's going to be able to adjust quickly because its work force is constantly learning and adjusting to new environments.

Right-sizing instead of down-sizing — that's a real interesting idea — strategic alliances; networks; integrated communications; electronics. I guess I'm going to cover a couple of more: NOAC, the next operation is the customer; the Malcolm Baldridge Quality Award; supplier certification; customer satisfaction; empowerment; benchmarking; creativity; innovation; globalization; standardization; simplification. These are all movements that they talk about. I don't know what's coming next. Some of these are just beginning to become movements. So if you want a movement, I can give you one. The issue is that none of these, in and of themselves, are necessarily going to fix anything, but they're important to consider in regards to all the other things that you have to do.

I have more information in that eye-chart in your book. I call it an eye-chart because I tried to shrink it down. One of the concerns you have with a conference is that you line up your papers and the great god in charge of everything will improve it and put the speakers and program together, and there's always some overlap. I took a shot at where I thought I needed to go in this talk, and I'm going to move through some of these ideas quickly. I want to get to performance measures, but I want to get you there from a perspective that will make sense.

As I said in my opening comments, everybody probably has more measures than they need. Are the measures measuring the right thing? This is the same as Dan's discussion on "doing things right or doing the right thing."

Well, why are you here? We talked about that last night and about who your customers are. I asked you whether you were customers, and you said, "Yes," but a different one today than five years ago. We also agreed that I could probably go back two years and you would be different; that you're probably different in that you demand more quality in your description of what quality means. You demand price or cost-effectiveness, and you demand things when you want them and on time. Three categories that I would say you need to consider are quality, time, and cost issues around your measures of performance. Those are universal terms.

"What do you require?" is the question to those customers. I asked you last night whether, as a customer, you would change loyalties from your provider of service or products if it didn't meet your three criteria of cost, time, and quality. The answer you gave me last night was that you probably would change. I think that's pretty much the answer I would receive today.

I have experience in both environments, public and private. In the last year I've done some work with government agencies that are struggling hard to reinvent themselves. That's a nice buzz phrase: "Let's reinvent the government." Well, "Let's find it first" would maybe be a better approach.

The point that I'm trying to make is that we're all talking about customers. About a year and a half ago, I was working with a government agency. They had formed six teams, about 28-32 people, and gathered them together to learn about benchmarking. We were wrestling with the issue of customers. This agency has a lot of customers, all of you in this room. As they tried to define the customer issues and we kept putting pressure on them, you could feel the pressure building until the room was quiet and there was a period of meditation. Then all of a sudden, somebody blurted out, "Damn it, we would be a lot better off if we didn't have all these customers." And it would be easier. Life would be easier if you didn't have these irritating customers to bother you. But, you see, the issue is that we haven't figured how to deal with those irritating customers. When we haven't figured them out because of our personal internal interests, we end up in conflict.

So the issue is, what do they require? And then the other issue, which starts getting to the performance factor, is, how are you performing for those issues?

There are key elements required to get started. It sounds kind of silly. Those elements are your vision and your mission. In the private sector, when a lot of companies started to figure out how they could survive, these elements became crucial. They have the same problems you have. I know companies whose products' sales were going down at such a rapid pace that the price at which they wanted to sell the product was decreasing 50 percent every two years. So if they sold it for this amount today, they had to expect to be able to sell it for half of that amount in three years or less.

Now, if you're running lean and mean, it's an issue of survival. It was an issue of biting the bullet and turning things around. It was difficult and it was a pressure cooker. But we have to start asking ourselves, "What do we believe in and what are we willing to do?" Companies in the high tech fields had to make some decisions. "Do we go offshore for cheap labor, or do we bite the bullet and fix the processes and stay in this country?" You know what happened here? When the vision stayed, we valued the respect of our employees and wanted to be a sound member in the community.

The private and the public sectors have been fighting each other all too long. They need each other to be effective and successful. Dissect a community. You need to have public works, city government, education, and industry, or some form of revenue generator, to do those things. If you don't have a healthy community it will fall apart, and it could fall apart in the education aspect or it could fall apart with a goofy government. It will fall apart.

Ask yourself where you want to go. Once you define that vision, ask yourself, "What are the strategic priorities and objectives to get there?" and "How do we wish to be able to get there?" I said to behave and that's a part of it.

Right now one of the hottest courses in the private sector is ethics — ethics and values. I'm going to talk to you a little bit about benchmarks, and that ties into ethics and values. Products and services. Do you provide them, once your performance has improved and your customer base is maintained? The other things you need to add are customer needs, market knowledge, understanding constraints, resources, paradigms. What are your own paradigms in thinking? Also, valuing behavior and then, at the bottom, common sense.

This is an organizational change model that I threw up on a flip chart last night. You must understand that every organization must recognize what their own issues are. If you don't understand your issues, you don't know how to fix things. The issues have to be understood. The problem is that you get confused by looking at issues because there's a lot of the bureaucracy, or the procedures, that gets in the way. I actually know of organizations that have followed policy and procedure manuals that were created 20 years ago, when the environment, the technology, and the customers were different. The procedures didn't match today's activities, but the company was still driving itself by the old procedures. The example last night, given the supply and demand — a million dollar's worth of reports that they didn't know where to send. That's an old procedure. That should have been shot. But they still spent that million bucks just because they were afraid to confront the system. That's a shame.

Culture and environment. I know that every organization has different cultures. That's what is so critical today in the global marketplace. By the way, are you affected by global activity?

AUDIENCE: Yes.

MR. GRUNDSTROM: You sure are. Pull yourself into a network and you can talk to anyone in the world. I don't have to go to a European source.

Think of the changes. Just think of the changes that are happening, and they're happening so quickly.

In ten years, or 15 years perhaps, the automobile will be 80 percent recyclable. Plastic and aluminum — they're working really hard to find the right plastic that can be recycled. What's that going to do to the repair shops and garages? You just snap the fender back on. What's that going to do to body shops? What's that going to do to insurance companies? Start realizing that one industry, one sector, affects the other.

Guess what became a standard feature in your automobiles in the last two years.

AUDIENCE: Air bags.

MR. GRUNDSTROM: Air bags. You all said air bags. Guess who built it? Who had a paradigm problem here? It wasn't the parts maker in the automobile industry. A subsidiary of Martin Saltz in Utah has 80 percent of the air bag market. And, the other manufacturer is TRW.

Two different companies are moving into the automobile industry, because the automobile parts makers and industry had a paradigm problem, saying, "People will never buy air bags, they're too much money; people won't like that stuff blowing up in their face. We're going to put a fancy buckle on it. It will sell. It's better." And they believed that until they lost that market. Now air bags are in almost every car. But what pushed them into the market and what made it standard equipment, besides you and me? It was something else that did it.

AUDIENCE: Insurance.

MR. GRUNDSTROM: Insurance rates went down. As soon as the insurance rates dropped, it became standard equipment. We demanded it. That's looking at cultural and environment issues. The structure and the process; how do you organize your change factor? What behavior or skills do you need to make it work? You have a new set of skills. The adaptiveness is how quickly I can respond to change, how willing my organization is to learn new things. I'm very concerned about that.

Paradigms — you've heard of them. I

love them. This is important to note. There's just one I want to point out: from job responsibility to process responsibility. Now I want to get people who know the process instead of just their job. Job descriptions are obsolete by the time you type them, in most organizations. If I can define skills that are required for the work, then I can adapt quickly. I just train for the deficiencies and skills; I don't have to get a whole new employee.

So I want to move from job to process responsibility. An interesting concept. That's a barrier to most organizations because of their bureaucratic structure and functional boxes. I don't like to move from job to process. These are the things that I'm focusing on more: benchmarking, from multiple layers to flat, from the budget centers to processing customers. I'm afraid when I talk performance measures you think about budget numbers. If you do — and I know budget is important — you'll have a hard time improving the process, because you'll never have enough money to change it in your mind. So the issue is how do you get to that other side of the scale.

Another paradigm that's kind of interesting: from unstated values to shared values. There will probably be three functions in this country, maybe more, that will be threatened and disappear: personnel, human resources, and finance. Some of these processes can be put on a computer, if the process is systemized well enough. For example, Smart Cards are being piloted now, where I can work on my computer through an Internet system of some kind, CompuServe or Prodigy, order my airplane tickets, slide my Smart Card through my computer and violá! The ticket is now on my card and it's billed to my account. I go to the airport, and I don't even bother checking in. I wave my card at the gate and board the plane. At the end of the month I get a statement. That's going to change some jobs. It's going to change some things in the environment.

One or two companies, maybe more, are implementing these principles. For example, Steel Case Furniture in the United States is looking at self-directed career planning for employees, where the employees become responsible for their own career development. Management doesn't do it anymore. It's up to the employee. They're working in that direction. They can't do it unless the organization has real open and shared values, direction, and knows what it's doing. I have to be able to say to myself, "I know where this company is headed; that's not a secret." That's shared values and vision. Those things are being fooled with. I did a benchmark study with them and I discovered that.

Here's one: organization maturity. An interesting one. It can apply to any organization. Your challenge, just like the challenge facing industry in the beginning of the '80s, is to take concepts and adapt them to your environment because there isn't a model. If you stop and think about it, I'm not sure if the resistance to quality in the academic community isn't because the concept wasn't invented there.

The companies that survived and did quality issues didn't get it from the universities. They got it from the consultants out there. They got it from the Demings, the people that were running around in the field. They stumbled onto it. I don't know if that's a natural resistance from the academic side of the fence but it might be. It really wasn't born in here. It surely should have been, but it wasn't. That may be a paradigm problem.

Employee involvement. If I see a high degree of employee involvement, decision-making, self-direction, what would I see if there's a lot of experience in that? What would you observe when you walk into the organization?

MS. ELBAZY: Communications.

MR. GRUNDSTROM: Probably a high level of communications. You would probably see more cross-functional teams. In a service business, when I've got a complaint about my appliance that doesn't work and an organization has high employee involvement, what I would find is that the employee who answered the phone solved my problem. I don't get transferred to five supervisors. I don't get put on hold and told to call back. If I made a phone call to somebody I could probably tell you whether they were highly involved because they could make decisions and take action, and it was simple to deal with. I don't get into this network of phone calls.

My next item is important. Let's talk about this: supplier and customer certification. Do you actually realize — and maybe this would be a good model for you — that the customers of your business, your operation, your product and services, actually become certified?

You have suppliers, upstream people — Dan talked about work as a process. Is all work a process? Why? Because it has inputs and outputs. If you get a job with no outputs, I'd like it for a week or two. You know, I'll do nothing. That's a great job. It would be quiet. But all work in the process has inputs and outputs, so in every process there is a supplier to the customer. Now the issue is, how do I get them certified and to be a part of it?

Now go back to the discussion we had last night about whether you change loyalties when you don't get what you want. Guess what certification helps me do? It keeps customers coming back because I know what they need. If you don't talk to the customer, you can't certify their needs. If you certify their needs, it becomes important to the customer that you be successful. They want you to provide the best books, the best process, so you certify them.

Strategic focus. I put these four dimensions together and I'll often use them when I'm looking at a company or an organization, especially if I'm going to benchmark it. Because if I find an organization that doesn't lean a little bit to the high side in effectiveness in any of these categories, I probably don't want to deal with them.

And here is the danger of your performance numbers only. When I'm looking at an organization, I look at the performance numbers, their percentage of customers per employee, whatever the performance numbers might be. I might see some really good numbers. If I don't go any deeper I could end up chasing the wrong thing, because it could be an instance where they could be the only organization within 200 miles that provides that service and the customer is held hostage to that group. He has to go back there; it doesn't matter if that organization varies in its effectiveness. So, be sensitive to the performance issues and not just the big numbers.

What I would ask you to look for, as you fool around with data and performance measures, is performance data as well as practice data. Performance data could be the percentage of employees they turn over every year. If it's real low, I still don't know how they do that. If it's real low, what might be some of the practices that would keep employees there?

AUDIENCE: A health plan.

MR. GRUNDSTROM: Others?

MS. PHIPPS: They don't develop them.

MR. GRUNDSTROM: They don't develop them. So? That could cause employees to leave. No training or what?

MS. PHIPPS: They don't have opportunities to go elsewhere because they're not developed.

MR. GRUNDSTROM: That could be another thing. That could be the other side of the story. I was looking for positive things. Get with the program here. Help me out.

AUDIENCE: Salary.

MR. GRUNDSTROM: Salaries could be it. How about hiring? Maybe we hired the right employees in the first place. Maybe it wasn't just because they fogged the mirror. We've actually hired employees that way, honestly. They were standing up and they were breathing. It looked good to me.

Get a little more sophisticated in the process. The practice could be those kinds of things that wouldn't surface in the performance data. You would have to balance them both.

Now let me talk a little bit about this model here, because I think this is something you can do in setting up measures.

There used to be an approach in life, business, and industry — we called it the push system — where we figured out what kind of services and products we could produce and then we just pushed them out into the world. And if they didn't like it, we just looked for another customer. And that was pretty good. It was symbolized by Henry Ford. Ford had a Model B and he said you can have any color you want as long as it is black, but he was selling a lot of Model B's. Then he introduced the Model A. Listen to some of the things that Ford did: Ford standardized parts, which is a movement today in the industry. Standardizing is simplifying things. I have a '29 car that had '28 parts in it that were interchangeable even though the technology had changed. He designed it so that he could interchange the parts to use them up.

The other thing with my Model A is that when it went down the assembly line, up came a pallet with an engine block on it and the engine went into the car and the pallet, with the screws and everything, became the floorboard of the car. It was just in time. A principle we started teaching again in 1982 in this country. Just in time. Mine had a whole new frame for a left- and right-hand steering wheel. That was discontinued in 1929 because Henry Ford said, "I'm going to build it to the customer's requirements." Ford had principles of using common sense that we were trying to instill again in the early '80s. Ford taught Toyota a lot of those principles in the early years.

But here is the challenge you now face: it is to not just push it out there to your customers. You really have a challenge. You must define your customers. If you do not define your customers, the measures you put in place will have no bearing on the customer. It may only have bearing on your own egocentric, silly needs. I'm saying that with tongue in cheek. I don't mean it quite that bad.

The issue is to do the pull system, which means going to my customers and defining what their requirements are. This could be the next operation as a customer. When I get their requirements, I look at my operations and say, "Bill, what do you do to help to get that done?" Once I do that, I have to say to myself, "Well, if that's what I do, what are the requirements I need to pass on to my supplier?" In other words, if it's a paper process, I need a paper that looks like this and is packaged this way.

We used to deal with sending books out at Motorola University, and the supplier said to us, because he didn't define all the requirements, "We'll ship them in lots of ten." Well, by shipping them in lots of ten, if you had 22 people instead of 30, you had eight books to ship back. If you ship eight books back from Timbuktu, it doesn't take too long to end up with a sizable air bill or freight bill. When I was managing that one department, I told them to throw the eight books away because the warehousing, the inventory, the garbage, was more costly than printing new books.

So when we discovered that problem we went back to the supplier and gave them new requirements; we want to order them in lots of 22. They said, "That's too costly; we can't do it." And we said, "Good-bye, we'll find somebody who will." With the volume of business we have they'll listen to us. Another thing we could have done was manage the course size better or make other changes of that type. But we had to define the requirements to the supplier.

This is where you start streamlining your supplier operations. Who are some of your suppliers in your operations?

MS. ELBAZY: Automation vendors.

MR. GRUNDSTROM: Automation vendors, software stuff.

MS. ELBAZY: Computers.

MR. GRUNDSTROM: Computers. Probably the next operation, even in your own operation, finance groups or somebody else could be suppliers to you. You have to talk to these folks to sort this stuff out. Communication is very critical.

Guess where I put some measures? Here is my target going this way. Now I'm going back the other way. My customer said, "These are my requirements." My performance gets measured. How did I do against those requirements? I can measure the requirements or measure the performance of my supplier as well as the products coming out. I should define the next operation and look at the measures where they fit, instead of pushing it out the door and looking for more customers, more students, and more money. We need more money. Why? Let's find out where we need the money or what we need to get rid of. This is an old concept.

Actually, the private sector did not discover the customer until about 1986 or 1987, when it finally figured out that it has done everything it can do to improve the process but it's still not keeping customers. For example, a company set a goal of quality improvements at ten-fold improvement in five years. Ten-fold improvement in five years. What's the problem with that measure or that target?

MS. ELBAZY: It couldn't be measured?

MR. GRUNDSTROM: Well, it could have been, but it wasn't. The numeric, nonnumeric numbers —

MS. SIMMONS: It doesn't matter how good the process is if it's not what the customer wants.

MR. GRUNDSTROM: Exactly. We gave the company an award. In 18 months they made a ten-fold improvement. Well, just think about this. If you're building screwdrivers that nobody wants to buy, you've got a bigger problem because now they're all still sitting in the warehouse.

This company did a ten-fold improvement in 18 months. Three months after getting the award they lost two-thirds of their market share because a competitor came in and took it away. They had to lay off 2,000 people. This became a major problem because the goal didn't say what the relative comparison was. It didn't say a ten-fold improvement to meet customer requirements or beat the competition, or whatever. It just said, "Fix something." So the measure had no relationship to the success of that organization and, therefore, it was a useless measure.

That was discovered by Motorola in 1982. We made a lot of mistakes in the process. It's kind of a discovery process, learning as you go, and suddenly realizing maybe we ought to talk to some customers. But when we asked the executives of the organization to talk to customers, they said, "It's not our job. That's what we have salespeople for; what the heck — I have to run this business. I have all these laborers to manage. I'm really busy, busy, busy." It took somebody with a lot of guts to say, "You're going to have to go talk to them and I'm going to call you during the year. I'll want three questions answered: Which customers did you talk to? What issues do they have? What did you do to improve the relationship? Thank you and good day." That was said by the CEO of the company. That's when they woke up. That's when you start driving change. This is an important concept.

I'm going to give you the evolution. If you want to get into quality — I'm going to talk a little about benchmarking here — there's an approach that you need to consider. I could reverse engineer our process. If I have a customer complaint, I could reverse engineer by walking through that complaint and see how many people I have to talk to. The idea of reverse engineering started around a physical product. I would see how they built this glass, tear the process apart, check the chemicals involved, or whatever.

The second one is competitive benchmarking. A lot of people get into competitive benchmarking — the big numbers, the number of employees per sales, the numbers of books in the library, et cetera, et cetera. It may not have any bearing on services. It's just a physical thing. It's not bad to use if you want to find out who to look at, but it's not necessarily going to change the performance where 90 percent of the benchmarking effort is going. It's called process benchmarking and process benchmarking needs to have the current performance of existing processes that are discovered through your quality effort. If you go after quality improvement, which is incremental improvement in any process, you have to study it to improve it, and that's when you start talking about benchmarking at the process level.

Strategic benchmarking is where, once I study the process, some of the improvements I have to make might be short-term and long-term. For instance, I might decide that I need to reorganize the university. That would be a long-term strategic pull. A practical aspect of that might be that we will need to identify people who can run the new structure if we do reorganize and line those people up.

Global benchmarking is what is happening in the private sector to some extent. At Motorola we globally benchmarked the Japanese Juice Association on training efforts. We did that in 1984. Global benchmarking means that I look at a process or a company or a methodology that would work anywhere in the world. We have one company in the United States, Saturn, that is being benchmarked and has been benchmarked by Toyota, Nissan, and just about every automobile company in the world for one specific area. What do you think it is?

MS. PHIPPS: Customer sales.

MR. GRUNDSTROM: The point of customer sale. The showroom activity at a Saturn facility is different from any other automobile company's. Toyota and Nissan are saying that they could use that method even in Argentina; it would work. It's a method that was simplified to cut costs and standardize processes. That's global benchmarking.

I've got some terms in the book, in your handout, about benchmarking definitions, one from the International Benchmarking Clearinghouse of the American Productivity Center in Massachusetts, and another one from the Center for Continuous Improvement. A critical sequence that we talked about is identifying critical issues, customers, strategic focus, current performance, best in class as identified, gaps defined, action taken and then you monitor the effort.

Quality requires you — and quality is a requirement and a prerequisite in benchmarks — to get the current performance defined. I see a lot of mistakes in benchmarking when organizations start sending out surveys without even knowing their own performance. When they get the surveys back, they don't know what to fix. Then they'll say, "Our bosses won't let us fix it anyway, but we were told to benchmark." So it was a useless expense and they're more in a hole than they were to begin with. They should have never have made the effort if they didn't want to fix the problem.

There's a consideration for benchmarking. You folks have to be careful of this because you're naturally good at it, that is, you're good at research. Benchmarking is research, but it is also implementation. If you don't implement the findings from a benchmark, then you just did a research study. It requires implementation to be benchmarking.

Here is another breakdown. Performance measures up on the top of the chart are the process of benchmarking, and then use the benchmarking in practices and enablers.

When I find a gap between myself and someone else, I have to use my current performance measures to look at it, but I start trying to get at whatever is enabling that organization to perform better than my organization. Many times that difference is in their practices; the things that they have in place that may be more operational to the culture, allowed by culture. The practice of empowering employees to make decisions is strongly connected to the culture of the institution. If they don't trust the employees, they'll never empower them. If they think the employees belong in their places and they choose higher income, they'll never get them — they'll never let them turn loose. That's a cultural issue that needs to be considered before I worry about implementing the chain.

The gaps that I'm looking for are "how much," "where," and "when." Closing the gaps often requires an improved knowledge of the process, some practice, and process improvement. It requires management commitment, organization communication, and employee participation to achieve superior performance. I would bet a lot of money that many of the same precepts are required for quality implementations.

You need the commitment of management. Some of you asked about this yesterday, saying, "I'm working here and I can't get the whole university or institution involved." I guess I'm saying to you, as I said last night, that if I can control that little operation without getting this done by the bigger operation, I'm probably able to do some bench number of quality improvements, but then I have to communicate to the rest of the organization about the improvements so I can get them excited about changing their lives. So it requires some communication.

This conference has several sessions on benchmarking. The model that I have in this book, your handout, is the APQC model or the International Benchmarking Clearinghouse model, which is a four-step model. Motorola has a five-step model. Xerox and AT&T have seven steps, Westinghouse has ten, and Weyerhauser has

32. They all have the same elements in them, based on this model, and that's why I'm using it as an example. They all require a form of the big picture, a strategic look. We identify customers, determine critical success factors, prioritize them, and identify the process that you need to work on.

I'm concerned with a company, like the one I told you about last night, that says they're going to go out and implement 68 teams, because I'm not sure that they'll identify the processes that they need to. Especially if they tell the team, "Go find the problem you solved." It's a sure sign that they don't understand their process in the first place. I don't want to shake the effort; I want to focus the effort on specific things. I would like to have the quality data to determine that and focus on the right stuff to improve it.

You can read this in your handout. I would like to leave a little time for questions.

In the timing stage, we need to form the team and establish the scope of the study. One of the things that's very important in the whole process of identifying those performance measures is discovering whether the measure is too big. Am I dealing with world hunger here? Is it everything we do? I need to focus on the specific things that have the highest priority.

You see, documented process, that's flow charting and analyzing the process of activity with your measurers in place. So your input/output processes — all activities that are measured are defined.

In benchmarking we also need to have a code of behavioral conduct and avoid any antitrust issues as well. I'm not spending time on this, but it's a consideration for effectiveness.

Collect the information. Here is where I start getting close to you folks. If I define the measure for approaching, I'll probably first collect the information internally to make sure I'm lined up right.

Identify potential partners. To identify potential partners, I'm going to look at both internal data. "How many of you folks," I would ask my department, "are affiliated with some kind of trade or professional association and know somebody who is working in this area?" Most of us have connections with somebody who is doing something out there. Today's conference is a network that could do very well at identifying potential partners. Conferences are some of the best sources of information for quality improvement and benchmarking and these kinds of movements. In this book of yours, you have people making presentations on things they may have done. Now it may not fit exactly in your organization, but it might trigger an idea, and that's the issue: triggering ideas. Conference proceedings are a missed opportunity because they're everywhere. There's probably 2,000 conferences occurring in the United States today. Pick one. Just think how much data is right under your nose. We have to sort that out.

Conduct secondary research. I would tell you, "Here are the things I need research on; do a keyword search." And in that keyword search you're going to discover articles.

I would ask you start defining where I need to look for the results. Now your challenge — you have a paradigm issue here — is to step out of your industry. One of the problems with the American automobile industry was that the Big Three never looked beyond themselves. One of the problems with the U.S. steel industry was that they never looked off the shoreline until it was too late and they went down the tubes. There's a problem with an industry that doesn't look beyond itself — it gets tunnel vision. It doesn't see the obstacles.

There could be a problem with U.S.

universities not looking beyond themselves. There could be a problem. I'm not saying there is. But you'll never get better than the paradigm of the industry or the service. Companies that have had to make major changes have studied unfamiliar companies. Motorola studied pizza companies. Xerox studied L.L. Bean for barcoding. One of the biggest companies that has had great success is a company called Wal-Mart. When I talk about Wal-Mart, what do you think? What image comes to mind?

AUDIENCE: Innovation.

AUDIENCE: Inventory control.

MR. GRUNDSTROM: Their supplier. Did you know it goes from the supplier to the shelf? Do you know where the warehouse is, on which truck? Look at a Wal-Mart truck. It is stocked before they can send it through the computer. Everything is barcoded on the truck. When they say they're out of stock and they can get it in within two days, it's already on its way. It's a high tech institute, a high tech group. K-Mart and other little guys who don't understand are trying to put it together, but they're never going to make it because it's the technology that's changed the company, not the concept. But I can go on forever with that story.

Here is a another thing: identify and classify process. If the system review is to manage the business, and I look at distributors to the business, and then I look at what the measurements in distributing the business are, my studies start looking at your processing and the things that you ought to have in some sort of classification. But that talks about systems approach to things: systems, processes, subprocesses, activities, et cetera.

High level relationship mapping and breaking down the organization. The critical issue in interface mapping is that it leads to process mapping, leads to job models or steps or tasks. Now when you try to fix a process without looking at the relationship of that process to the rest of the system, you might be goofing up the system.

If I look at this map, a relationship map, and I look at the flow of things coming into it, I automatically see which functions are involved and what's transferred between them, and I can start identifying what the department is costing, the time and the quality defects. I could look at an organization and find the part of the organization that needs fixing; where I want to set up my performance measures.

I'm going to speed through these. That's cross-functional line. I can also find where my measures are in this one.

Business systems. A system, the process, the activity — where are you going to improve? If I deal with the system, I'm dealing with the university, perhaps, or maybe the whole library as a system. Which processes within the library do I need to fix in my quality efforts? Which ones would be the key? Which measures of performance do I have? And, what are the costs, quality, and time? Is there an activity that I need to work on? I could have a process with ten activities, and I might need to pick three of the ten to be my focus. But what's driving this is the customer input on the other end.

Categories of measures. This is how we break them down from the system process to the activity. Here I would break it down to the key process and customer input. Categories of quality, cost, or time; the critical success factors; and then, the key measures.

Let me show you an example of customer complaint handling, the process that identifies the workout of customer complaint handling. The categories of measures that might fit into it could be quality, cost, and cycle time. You can make up your own if you want, but critical success factors to the customer are courteous service, complaint handled efficiently, and complaint handled on the line while I'm on the phone.

Measures here could be of performance. These could be the target measures. I can even put standards of performance over here. How did we perform over three months or a year? And I could compare the targeting measure to the performance established over a period of three months and suddenly find some gaps. So I would want to know what I want to improve on. That's breaking down my measures. Now I'm still concerned that I've got practice data in there as well. I want to make sure that if I look at the performance measure, that I start getting a sense of the practice that drives it, because there could be unusual elements in the environment that drive that performance. Like I said, the only one in town, or for 80 miles or something. There's another example in your book about hospital admitting processes and emergency rooms, and you can break that down the same way.

Selecting measures. Here you're questioning, besides its importance to the customer, is it quantifiable? How is it measured? What is the measurement and accuracy? Is it auditable or where is it auditable? How would I know what's happening?

When I have measures or processes, I want to see two other things. I want to see the date the measure was taken and the signature of who did it, because I can't audit the process if I don't know who took the measurement. When the process changed, how does its measures change?

Somebody mentioned a seasonal shift in demand. L.L. Bean, for example, says they ship their orders 99.9 percent of the time accurate, correct, even at Christmastime. That's a process that's under control and isn't impacted by variability. If your process is impacted by demand variability, it's not yet under control. You need to figure out why that variability exists.

If a problem occurred in the system, it shows up quickly in the measure. In other words, if we have a glitch in the system, if I empower my employees to manage the control of the process, will they be able to spot it when it's broken down and fix it? If they can, what a great idea! I don't have to get involved in that study. They'll fix it themselves.

Our outside sources are likely to have comparable or compatible data. In other words, I may be able to collect measures that somebody else may have.

Other issues are whether I can normalize the data between myself and that group. That's always a requirement. Normalizing data might be required because the cost-of-living index varies in different locations.

There is something here on some steps. That's more or less for your information. This is process analysis. Every process has four or five items. Each process could be a problem in the process because of the equipment. The methods aren't understood. The people aren't properly trained. The environment is goofy. I have a process that, if I narrow it down, I don't have to fix all of them, I fix the one that is broken. Have I analyzed my performance into that group? If I did, I'll be able to figure out what I need to fix.

Southern Management Planning Tools are the basic tools in how to use and identify problems. This is charted here on data collection. What we are seeing in benchmarking, taking quality to the next step, is that 80 percent of the effort in benchmarking and finding solutions to improve my process do not require me to make a site visit. If I do my research, I see if

I am analyzing the data correctly. Most of the time I can settle my problem through that means rather than visiting the site, but that requires that I have a good understanding of the process and good methods of analyzing data in secondary research.

This is out of a campus book, I believe: data collections, library research, professional trade/association data, online database, internal company studies, consultant research, conferences, networking, questionnaires, telephoning and so on. These are a series of things that can happen. This was done in a study. You probably can't read it. You might want to translate it from this one. A study on key base awards and recognition systems. I constructed this: secondary research, culture and environment, structure and process. Behavior and skills I gave as some criteria and had the researchers read the article and define what measure they could have. Can you identify these kinds of things? By structuring the logic to the analysis, you've got a pretty condensed, focused report that started driving us to what is making it change, what's making the difference.

When you read reports and documents, you get caught up in the language. So, by driving the structure, I took researchers with very limited experience, but a good research team, and they were able to put a nice report together. I'm using this in other efforts right now.

Gap analysis, aggregated data, normalizing the data. Like I said, identify the gaps, isolate the enablers, which often are the practice data. Improvements. Adapting the enabler. In other words, go back to that chart which states the critical issues, cultured environment, structured skills.

If the behavior skill issue is a self-empowered team and I've got Attila the Hun running the place, I'm going to have a problem with empowering employees, right? So what I need to do is shoot Attila, get a whole new management team in, and then worry about empowering the team. So it's just a different strategy that has to be laid out.

Accessibility. Enable change implementation and away you go: managing the change, benchmarking your quality processes, really working at defining the issues.

If you've got the need to change a process, but the manager of the process doesn't want to listen, then you can't change the process. One automobile company wanted to change. They had a belief at the corporate level, in world marketing, that they had the products now but that their problem was that things were broken at the dealership. So they identified five key employees at the dealership and they asked me whether it would improve customer satisfaction if they improved employee satisfaction. And I said that it would.

So with this, we were off trying to do a study to determine how to improve employee satisfaction, but they did not want to include the managers of the dealerships. And I asked, "Why not?" They said, "Because they're jerks." I said, "Stop, stop the music. Guys, it isn't going to work. You have to go through those managers, as big of jerks as they are, because you can't fix the other without fixing that." And they trusted me and they're trying to get the managers involved. It's going to delay the process a little bit, but it will now have a chance to work.

The time frame/leadership system is not interpreted here, and I can hear that happening in this room. The issue of your difference makes you special, but the thing you need to realize is everybody out there is different too, so you have to look for the common learning that can happen between their discoveries, their frustrations and your need.

We can go on for a couple of days on your stuff. I went through most of my overhead. If you have any questions?

MS. ELBAZY: On performance, what do you think of Zero Defect as a performance measure?

MR. GRUNDSTROM: Well, I think if you're going to simplify the problem first it's one thing. If you tell me Zero Defect on a junk process, I'm going to say you're going to have a problem.

The same thing happens when somebody says, "Let's implement six sequential steps of performance," which means a million opportunities for error there and opportunities for those errors to surface, which means if you have a complex process and you haven't simplified it, you're going to have a nightmare in getting to Zero Defects. The issues often go to Zero Defects — if I can improve the processes and understand that it occurred, I think you should Zero Defect. I think you have to take another element of it and look at the process and try to simplify it. Most customers don't want complex processes.

MR. MERIKANGAS: Yesterday we were speaking about how much our customers are interacting with greater complex processes. Would you say it's a human interaction and so, as we're going along — if we're going to improve it in some way, they have to improve also. In some cases we want them to stop utilizing books, or something like that, because it hurts the future situation if they are constantly ripping out pages. So part of the quality is changing their behavior. So how does that enter in? For instance, if a physician has to have someone to operate on if they're going to have better health —

MR. GRUNDSTROM: Right.

MR. MERIKANGAS: — the professional can't be in control. That negates the joint process of teachers/students —

MR. GRUNDSTROM: Right.

MR. MERIKANGAS: — librarian/client, so how does that dimension of it get into it? How do we get that client involved in this process?

MR. GRUNDSTROM: I'm being silly maybe, but I had a problem with my son. I had a set of tools. While they were my tools, he didn't give a damn about them. Somebody stole the tools and I had to buy a new set of tools. This time I took him with me to buy the set, and we bought our tools. The new mind-set helped and he took better care of the tools because he felt ownership in those tools.

If I can get a customer and myself talking more about ownership than our relationship, I'll change that behavior. Somehow you need to work on those issues. If there's no consequence to my behavior, I'm not going to change it. Now I'm not saying to discipline your students, but I am saying there needs to be more of an ownership in that book, one that empowers, whatever way we have to do this. There's an issue there.

MS. ELBAZY: I would just like to respond for just a minute. Whenever we have a student removing pictures, especially ones that association services are paying for, from collections that have pictures, most of the time we just give the student a warning or a fine. We have dealt with the needs of the students by asking them if they would prefer to "volunteer" time working in the library instead of paying the fine, letting the students choose what kind of process they would like to go through. Most of the students who act in that way and get caught (because, as you know we can't catch all of them) spend about 20 hours of community service in the library. Most of that time they have to shelve books and make photocopies and see what goes on behind the scenes. At this point a number of the fined students come to me and say that they really never knew what was involved in running a library and they appreciate it. They were very angry for having to work 20 hours free, but the experience made them feel that they didn't want to let these things happen again.

MR. GRUNDSTROM: Let me summarize really quick and I'll get to your question.

The issue I walked through with you is that there's an importance in identifying the customer. Identifying your critical success factor is verifying those against the customer requirements. Take that information now and go through and identify the key process that meets those customer requirements, access their capability and how that performance is performed, map that performance, identify that process flow, look at where the critical issues would be placed in that process if you were going to manage that process. Also, I would like measures, if I could, around quality and time and cost issues because those are quantifiable issues. I can look at defects. I can look at time. I can look at labor costs, et cetera. Once I've got that done, I need to start looking at how I am going to improve that process — when and how.

The other important step when you talk about system process, some process activity, et cetera, is once they started tweaking with a system or process, I have to be sensitive to what the impact will be on either upstream or downstream processes. For example, I have a new computer system to process invoices but I leave the old paper check process in place. So I process a whole bunch of invoices and now it spits out checks. You see, I added a cost to my operation because now it's time that is adding cost. So you can over-optimize the effectiveness of one department and screw up the whole system. Are you with me now? Question?

AUDIENCE: I didn't understand that customer supplier/customer certification method.

MR. GRUNDSTROM: That's in the book, where I said the requirements are here, customer requirements, my operations, requirements to the supplier. When I put those all together, I not only certify the supplier meets the requirements that I need, but I also certify customer requirements and decide what to do. Any other questions?

You've been kind and you haven't thrown anything. I wish you godspeed and good luck, and I hope we meet again.

MS. JUROW: Thank you very much.

BENCHMARKING: A PROCESS FOR IMPROVEMENT

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INTRODUCTION

The total quality movement, and/or the continuous quality improvement movement, is popular today by any name. The higher education literature is awash with instructive guidance for the professional administrator including what every organization must know and do to survive into the next century. Higher education is becoming very competitive. Cost containment combined with the desire to better serve the customer are the two primary reasons for the interest in the quality movement.

Higher education is becoming interested in defining quality services, in identifying customers, and in the measurement of inputs and outputs. Outcome based measures are in vogue. Libraries in higher education can easily measure outcomes: statistics on the number of users exiting in a set time, the number of reference/directional questions answered, the number of online searchers completed, the number of books cataloged during a prescribed time, etc. There is no end to the number of "output" measures that can come from a library, given enough time and thought.

One problem with these measures is that, while they do measure quantity, there is a corresponding lack of quality measurement, due partially to the trouble with quantifying quality. The question of whether the output measures being counted are the measures which should be counted and are the right things being done remains to be answered.

There is little doubt that libraries see themselves as service organizations, that "users" or "patrons" are now viewed as customers, that libraries wish to improve services through the use of standards and measurements of quality, and that libraries wish to engage in an assessment of continuous improvement. This article is an attempt to define and measure quality improvement through benchmarking.

BENCHMARKING

The term "benchmarking" derives from carpenters and surveyors jargon. A mark on a bench or pole became the standard or measure for future repetitions of a service or task. The "benchmark" was accepted as an indicator that some prior measure was true, acceptable, reliable and could be counted on to provide an indicator of a prior quality measurement. Brought to modern context, benchmarking is a process of measurement using some external standard of quality to measure internal and external tasks, processes and outputs. Benchmarking can be viewed as a journey of continuous improvement, a systematic search for new ideas, new methods, and new measurements aimed at improving the quality of the product, or outputs of the organization.

WHY BENCHMARK?

The main reason to study processes and/or product, whether internal or external, is to determine if they to measure up to some definition of quality. Simply put, are they good enough, how do you know they are good enough, and how can they be improved? Benchmarking allows for the establishment of a systematic process to indicate if the outputs are of quality. It also allows for an organization to create its own definition of "quality" for any process/output. Putting all output measures of an organization into a plan, and agreeing on priorities, is a form of "strategic planning," another reason for benchmarking. The quality improvement movement uses benchmarking as one method of determining continuous improvement.

Benchmarking is also used to forecast the organization's future and to develop new ideas to improve processes within the organization. Comparing methods of producing the same product is the best way to improve an internal process. Process comparisons lead to improvement, the goal of benchmarking.

TYPES OF BENCHMARKING

There are four types of benchmarking found in the literature. All four have relevance for higher education and applicability to academic libraries.

- Internal benchmarking is the measurement of similar activities performed by different departments within the same organization. Some examples in libraries are the circulation services, the reference services and the database search functions of branch libraries or departments.

- Functional benchmarking is comparing functions/practices with the best practices from a leader in the same service or industry. Fund-raising, interlibrary loan procedures and recruiting practices are three functions that come to mind in this area. Determining the "best in the field" will be discussed later.

- Generic benchmarking is comparing the best practice of a function or process which crosses industry or service lines such as term billing, document processing, or facility maintenance practices.

- Finally, competitive benchmarking is the comparison of one's own performance in a process or service with that of a competitor in the same industry. Recruiting practices, grant administration, and public relations activities are areas where competitive benchmarking might prove profitable in higher education.

WHAT TO BENCHMARK

Benchmarking is an ongoing activity to seek improvement. The question is where to seek this improvement. Realistically, anything that is a process or product can be measured and potentially improved by systematic study. The most obvious candidate for benchmarking is the services or products of an organization. Usually these are "outputs," or products which users, or customers, receive as the result of a encounter with the organization. However, internal work processes may also be measured and improved, and therefore are candidates for benchmarking. All organizations have both internal and external customers. Internal support functions, performed primarily to enhance an external output, are also measurable. Finally, and not the least important, overall organizational performance and strategy can be benchmarked.

BENCHMARKING PROCESS

The literature lists four or five steps in the process of benchmarking, depending on whether you wish to begin with introspection as the initial step. "Above all else, know thyself," wrote Shakespeare. To understand benchmarking it is quite necessary to know the organization, its internal and external customers, and the products or goals of the organization. The steps that follow are:

- Pre-Benchmarking: Deciding what is to be measured; how to measure; and what partners or criterion will be used in the process.
- Benchmarking: During this stage the process of gathering data, measuring outputs and estimating targets is formulated. This lengthy process involves many staff and much organization time.
- Post-Benchmarking: The results are in; the process of analysis is started and the future goals are formulated. An action plan, a strategy, is created and set in motion.
- Review/Renew: Providing feedback for future decisions is important in this phase. During this phase review of the strategy, resetting goals and continuous planning for improvement lead back to the first step of pre-benchmarking.

BENCHMARKING MODEL REQUIREMENTS

The process of benchmarking will be repetitive once it is put into practice in an organization. As such the model must contain a series of simple, logical sequences of activities which need minimal monitoring but which can be readily altered as the requirements change. The process will be more successful with a heavy prior emphasis on planning, organization, and reporting of results. Prior consideration of the use of the results and of the continuing process will lead to a simple, generic process of continuous self-measurement for improvement.

SELECTING PARTNERS

Benchmarking is a continuous process of introspection which is validated by comparing data gathered from other institutions. It requires the library to select a partner or a set of partners who are either the "best" in a particular output or a group of libraries accepted as peers. Choosing the "best" is subjective, at best. The goal is to become the best and to have elated, not merely satisfied customers. Some sources for teams are:

- The Institutional Research Office at your institution.
- The NACUBO Benchmarking data, if available.
- The national library grouping of your choice.
- The Statistical Norms for College and University Libraries from the U.S. Department of Education Surveys.
- The Higher Education Price Indexes Annual.
- A self-prepared questionnaire prepared to determine partner relationships.
- University/College libraries which have a regional/national reputation for excellence in an area you wish to benchmark.

SUMMARY

Benchmarking is much more than merely gathering comparative statistics for the record. It requires clear, distinct steps, careful analysis and an understanding of the necessity for continuity of effort. The data, along with the results of a thoughtfully prepared site visit, are the key factors in completing an initial cycle of benchmarking, a step leading to improvement.

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FROM QUICK START TEAMS TO HOME TEAMS: THE DUKE TQM EXPERIENCE

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THE TRADITIONAL MODEL

The Duke University Libraries, in January of 1994, broke away from its traditional hierarchical model to become an organization emphasizing self-managing teams and continuous improvement concepts clustered under the Total Quality Management (TQM) umbrella. How did this come about? How could a well-established, long term hierarchy achieve this without collapse? While the date for the transformation is recent the process actually started back in 1986.

Here (Illustration 1) is what Duke's general library system looked like organizationally not very long ago. As you can see in May of 1993, we did not look very different from most other university libraries. Duke, in many regards, is a prototypical large research library. The Perkins Library System contains slightly over 3.6 million volumes, the budget is approximately $12 million dollars, and has a staff of about 220 full-time equivalents.

The May 1993 organization chart suggests there is a regularity to our decision making and communication. Orders are given and they flow downward, along with adequate resources. Results, one hopes, flow upward and all is well. There is an implicit and expected delegation and acceptance of authority and responsibility, flowing from the President's office through the Provost's to the University Librarian. Jerry Campbell, the University Librarian, in turn, authorizes several of the administrative staff members to supervise, coordinate, organize, and otherwise pursue the mission of the library. These administrative officers including the deputy, associate, and assistant university librarians authorize department heads to carry out their work. All of this, of course, is done in a collegial manner but there is a firm protocol that is followed nevertheless.

As with most organization charts, ours is limited by not showing the many informal communication networks, i.e., it fails to show "the way things really work" and it excludes the customers, the people for whom we do it all. They are, of course, the central tenet of TQM-based organizations. In walking about the organization, we noticed this somewhat crude but apt representation (Illustration 2) of the way some staff see the organization. We include it to suggest that at least some staff members are not happy with the bureaucratic model prevalent in all American libraries for most of this century. What staff members would rather have is not totally clear but we know from the organizational literature that most people like to work, that they want a say about their work and how it gets done, and about the decisions affecting their work. The hierarchy or pecking order limits and in fact inhibits the achievement of organizational and personal goals, sometimes to a significant extent.

We were aware of the limitations of the present organizational structure, but like many others working within the inherited organization had worked with it and around it, figuring out ways to inspire cross functional efforts, creative thinking, and streamlining to get rid of rework and duplication — yet staying within the general lines of the hierarchy.

AN IMPETUS FOR CHANGE: THE BOARD OF TRUSTEES AND TQM

In late 1992, the President of Duke University convened a select group of his staff members and encouraged them to consider using Total Quality Management. This was at the insistence of certain members of the Board of Trustees who had first hand experience in their organizations with TQM concepts and had found them useful. They saw direct application to Duke, a university that was in good budgetary health, but possibly anticipating future budgetary difficulties similar to what was already occurring at all of our peer institutions. Why, they may have asked, should Duke be exempt from what is happening nationally?

Several of those in attendance at the President's meeting, including the University Librarian, saw the possibilities TQM offered in helping us move forward, enabling us to anticipate and confront the major changes and challenges already facing universities and all research libraries. That's not to say that this meeting with the President was our wake-up call or that we had not already seen the handwriting on the wall requiring us to be more proactive and flexible. All of us know about the upheaval in the world of information and that what we now see is but a precursor of more changes in how libraries work and are used. There are long lists of issues bearing down on the traditional approaches used by libraries. These are some of the more important for our situation:

- Rising costs of library materials leading to far less purchase and more temporary access;

- Delivery, at long last, on the electronic promise of networked information;

- A truncation, if you will, of time and space in how we do our work (electronic records flow unlike paper ever did or could — ubiquity achieved, sort of);

- Fiscal distress visible at other universities as seen in sizable staff layoffs and cut backs in programs;

- Diminishing library share as a percentage of the overall university budget; and

- Expectation among our non-MLS support staff that they have a career ladder in library service.

This chart, (Illustration 3) derived from ARL data, was distributed at a recent OCLC meeting in March of 1994. It shows that in 1980 we started a downward skid toward a projected total loss of purchasing power in the year 2010. The speaker, Brian Hawkins from Brown University, ventured when that happens no one will be able to buy anything and we will have to borrow everything from each other.

While we have been spared much of the pain of downsizing and other budgetary reduction schemes found at other institutions, the Perkins Library System has had too little money for automation or staff development. That which we have had has come from a rigorous examination of how we use existing resources. Illustrative of this is the visible diminishing of the percentage that salaries take up in the total budget (Illustration 4). Starting in 1986 we began to move dollars deliberately from the staff lines into those budget items most in need, e.g., computers and training. No layoffs were made nor was anyone fired to accomplish this. More than a few positions saved were moved to "hot spots" where the case was made that need was so great that positions should go there. Over ten FTE now are working on transforming the card catalog into an electronic one — all of these positions came from existing staff.

There was another reason to explore the promises held by TQM: The participatory approach was getting results in technical services. From about 1986 onward we began to seek efficiencies in how we worked in technical services. We were challenged to improve when we saw the results of a productivity survey conducted by Stanford University Libraries. Illustration 5, "Duke's Ranking," sums up where Duke fell out compared to about 20 other research libraries in per capita output. While the results confirmed what we thought might be happening, we were dismayed (even a bit jolted) that our overall score in the 1987 column put us at the bottom of the list. Over the next several years we sought to eliminate complexity, rework, duplication, and irrational work processes. We pushed the hierarchy to its limits during this time and went largely to a team-based approach in all of our work. Staff members were expected and encouraged to speak up about ideas and decision making was based solely on speeding up all of our processes and eliminating the backlog to better meet the needs of our users.

That we made real progress is seen in the column for 1992/93 wherein our overall score is now the best among our peers. Achieving this, the questions became, "Okay, what's next?" and "How do we exceed the present boundaries?" The answer is linked to the general sense among many of us that we are in an era of transition, one of uncertain dimensions and qualities. It is a time for opportunities. As K. Wayne Smith said at OCLC's Research Library Directors meeting in March of 1994, "This is a golden age for libraries, if we choose to make it so." While he did not elaborate on his emphasis of the implied choices, we think what we are trying to do at Duke is to create an organization that can make those choices. We believe that organizations can anticipate and deal with what is going to confront them in the near and long-term; it just does not happen to them like a roll of the dice.

So in December 1992, the library's administrative officers attended a TQM workshop sponsored by Duke University's Office of Human Resources. We learned that TQM principles include defining quality from the customer's focus, fostering employee involvement and training, applying statistical methodologies to manage by fact, benchmarking (searching for best practice), and understanding the cycle of continuous quality improvement. Total Quality Management appeared to be a workable management system that would enable the library to accommodate the conditions of our changing environment. Our vision for change is officially known as the Library 2000 initiative. Its goal is to create the library of the 21st century through the principles of Continuous Improvement (CI), the library's name for its adaptation of TQM. Along with our vision, we developed guiding principles, that serve as a compass to keep us on course with our vision (see Illustration 6). Both the vision statement and guiding principles were published broadly and were referred to frequently as we began to shift paradigms within our library culture (see Illustration 7).

In order to meet the emerging demands of our technologically enriched environment, we needed to create a more flexible, holistic and customer-based approach to library services. We want to meet and exceed our external and internal customers' needs for quality services. Our goal is to develop interrelationships among ourselves, to develop partnerships both externally and internally. We want to emphasize results by working on methods and to shift our focus from the individual and the end product to the work process. If we are able to improve how the work gets done instead of simply improving what is done, then we will have developed systems that will become less reactive. By recognizing the process of change, we will learn to recognize how through our own best efforts we contribute to some of our own problems. We wanted to discard systems based on numerical quotas, a controlling atmosphere, and decision by opinion. Too often our reliance on numerical quotas created internal conflict as staff members found themselves competing against one another to reach goals that were short-term in nature, or were often set too low to ensure a safe return. Our focus on individual or departmental actions was at the expense of the larger collective consequence; we simply lost sight of the library's purpose. We wanted to move to a working environment where staff members make decisions based on facts. Jerry Campbell is fond of the saying that no one is prohibited from thinking on the job. We wanted to use this philosophy to ensure that quality is the responsibility of everyone in the library and is not confined to a single "department of quality."

We define continuous improvement as using specific methods and measurement to systematically collect and analyze data to improve those processes critical to the library's mission. Instead of trying to do better in an undefined, intuitive way, Continuous Improvement emphasizes a structured, problem-solving approach to building quality into every system and process in the library. With each improvement, processes are better and there is a recognition that systems (not employees) are responsible for most inefficiencies.

PILOTING WITH QUICK START TEAMS

After looking at TQM models used in business and at the medical center at Duke, we created our own infrastructure to plan and guide the progress of CI throughout the library (see Illustration 8). We have five CI steering teams responsible for staff education, recognition, communication, implementation, and futures research. Our CI infrastructure is probably typical of most organizations that embark upon TQM except for the Futures Team that is responsible for scanning the library's environment and the external environment to identify issues that may contribute to the creation of the library of the 21st century. The CI steering teams have one member from the library's administrative group plus staff members from throughout the library. Each team has developed a role statement to describe its functions and purpose, and works with all library staff to implement CI. Before deciding whether or not to implement CI throughout the library, the administrative group decided to test actual models of the CI process using three pilot project teams, referred to as quick start teams.

The administrative group and the management group (composed of branch librarians and department heads) used several CI tools to select topics for the quick start teams. Each team was given a brief problem to define and investigate: the Shelf Failure Team was asked to improve the success rate of users in finding books on library shelves; the Document Delivery Team was asked to improve and expand the present document delivery service; and the Branches/Perkins Team was asked to improve the working relationships among our centralized services and the branches. The teams were cross-functional, with representation from most areas of the library. Each team had approximately seven people including a team leader and two facilitators (drawn from our regular staff). One of the goals of involving many staff members as either participants or facilitators was to distribute to the functional, home teams hands-on experience in applying CI methods. The teams learned, tested, and demonstrated an objective approach to identifying problems, gathering and analyzing data, and developing solutions within limited time frames. At the end of the three month period the Implementation Planning Team (IPT) surveyed each of the quick start teams to assess the effectiveness of the CI process and the team infrastructure. We wanted to determine how well the teams understood and accomplished their mission, how effective they were in using the scientific approach to problem-solving (e.g., data gathering, use of CI tools such as brainstorming, multi-voting, selection grids, etc.), how they communicated and interacted with the CI steering teams, especially with the IPT and the administrative group, and how effective the facilitation was.

All 21 team members responded to the survey and 85 percent found the CI approach overall to be effective, only 3 percent found the experience not to be effective and 76 percent would serve on another quick start team. Those declining the opportunity to serve on another quick start team cited restrictions on their time as the barrier rather than a lack of confidence in the CI process. The teams also made valuable observations about what worked and what needed improvement (see Illustrations 9 and 10). Given this level of support, we decided to implement CI throughout the library. However, it became apparent that our existing hierarchical organizational structure was a barrier to the achievement of our vision of creating the library of the 21st century. We would not be able to emphasize a customer focused, problem-solving approach to building quality into every system and process in the library unless we were willing to work in teams.

REDESIGNING WITH HOME TEAMS

In the spring of 1993, the University Librarian invited all library staff to make suggestions for the library's organizational redesign that would improve the library and its ability to offer services. Our goal was to create a library organization with flexible structures and processes that will enable us more rapidly and effectively to incorporate new methods of offering information and services while still maintaining the key functions of our traditional operations. We wanted to accomplish our goal within our existing budgetary resources and had four major objectives to:

- Increase the library's technological capabilities;
- Increase the technological expertise on the staff;
- Shift more financial resources toward new methods of offering information; and
- Streamline existing supervisory layers (one in every four staff members was a supervisor).

Thirty-five staff members submitted ninety-nine proposals for redesigning the library. Several of the staff members suggested dramatic changes including the mergers of major departments and the elimination of other departments. Other staff members took a more cautious approach to the redesign asking us to also consider the demands and upheavals already imposed by the installation of a new online catalog system, and a major renovation of the largest branch library on campus. The ideas were compiled and scrutinized using CI problem-solving tools including selection grids and multi-voting. As a result, we chose an organizational design that flowed easily from the existing structure. Departments became home teams and are grouped into quality circles of similar function (see Illustration 11 and 12). In their quality circles home teams cooperate in addressing issues of mutual interest and responsibility. The quality circles are also essential to the plan to distribute control of the library's budget throughout the organization. Although the home teams coincide with the former departments, their internal structure is less hierarchical and their boundaries are more porous. All library staff members are based in a home team, but they also participate in various temporary cross-functional teams as appropriate. We are working to empower library staff members so that each will be able to think about what they do, explore how they can do it better, and then act to implement continuous improvements.

The administrative officers of the library are also dealing with change. Supervision is now less important for both the administrative officers and the former department heads. All existing department heads were invited to become home team leaders. The main objective of the home team leader's role is to empower and lead the home team to deliver quality services and products. The home team leader is responsible for looking beyond the boundaries and interests of the home team. To seek out opportunities to work with other individuals and teams to focus on library-wide issues that will move the library forward into a new era of information service. Department heads not wishing to assume this new leadership position were reassigned without prejudice within the Perkins Library System. Instead of supervising specific team leaders, the deputy, associate, and assistant university librarians now work with all the home team leaders on system-wide issues. Leadership and facilitation are now the major responsibilities of the administrative team. Emphasis is on open feedback, coaching, enabling, and counseling.

We officially began to implement our redesigned organizational structure on January 1, 1994. The redesign reflects the vision statement and guiding principles of the Perkins Library System and we hope that it will be flexible enough to help us meet existing and emerging challenges. In working in our redesigned organizational structure we have discovered the benefits of having people of all levels work together in teams. At the same time, we recognize that it requires hard work. Each team has its own dynamics and we are still working at breaking down barriers and rivalries to build interrelationships and partnerships among teams. We have many issues still to resolve including personnel matters such as classification, compensation, recognition, and career paths. Currently we are considering how to shift from an individual performance appraisal system to a team-based assessment system.

TEAM ASSESSMENTS

For us, team assessment differs from performance appraisals. The focus of performance appraisal is to serve as a tool for pay, promotion, and training and development for the individual. Team assessment focuses on the team's work performance, i.e., on what that team has done and whether those actions are appropriate. Although jobs may vary within the home teams, each team has core work processes that can be used to analyze team performance. At this workshop we divided the participants into four different teams, gave each a task, and then had them brainstorm a list of criteria to use to assess the team's performance. Each team multivoted to select their top four criteria that they would use to design an instrument for team assessment. Most of the top criteria that were identified (results achieved, time taken, cooperation, risk-taking, and collaboration) show that teams can develop a variety of ways to measure the following key performance indicators:

- Inputs - Resources used to provide service
- Processes - Work activities carried out to produce outputs
- Outputs - Amount/type of services provided
- Outcomes - Impact on the customer

Another way to look at the results from the team brainstorming and multivoting exercises, is to examine the elements that make groups work well. One of the briefest but best summaries is provided by Marvin Weisbord in his book, *Productive Workplaces?* We have amended his criteria somewhat for use when assessing teams:

- Inclusion: Who's in, who's out?
- Elbow room: Comfort in working together, ranging from "I'm crowded" to "I'm easy."
- Discussion: Is it free and easy, or labored and guarded? Does everyone speak up or only a few?
- Conflict: Is it worked on or avoided?
- Support: Who does the work? All, one, or a few?
- Purposes: Known to the team or are they ambiguous? If known are they acted upon?
- Use of skills: Full or poor?
- Leadership: Facilitating or controlling?

For the most part of our ARL workshop, teams identified the critical elements experts believe are basic to group effectiveness. There is however a difference in the teams not mentioning, in any direct way, dealing with conflict. It is noteworthy that in our other observations of teams in libraries conflict resolution generates the greatest differences in how people assess team performance. If conflict is normal and healthy among groups, and we think it is, then teams may need extra help from trainers and coaches in recognizing and managing conflict. It does appear that conflict is difficult to deal within the dozen or more groups we have worked with in libraries.

At Duke we are working to replace individual performance appraisal with team assessment. We have stopped doing the former for all support staff and are now working on ways to incorporate a system for regular feedback on the work of teams. The temptation is to replace the old individual assessment with something similar but adapted to a group. We think we are working towards something, but the shape of that something is not well-defined. It will be different in its frequency, input from customers, and its lack of paper and formality. If we can achieve it, the discussion will be spontaneous more than orchestrated. We hope to encourage our teams in the Perkins Library System to measure performance not just annually but throughout the year as projects end, turning points are experienced, budgets are developed, equipment is acquired, and new services are designed. Our goal is to devise an assessment tool that will promote teamwork and encourage problem solving, not finger pointing.

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PERFORMANCE APPRAISAL VS. QUALITY MANAGEMENT: GETTING PAST THE PARADOX

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A primary goal of the quality movement, like the traditional organization that preceded it, is to get the best possible, committed effort on the part of the members of the organization. There is substantial debate today about how best to achieve that goal. The purpose of this paper is to survey the literature in order to summarize that debate and then to offer a theoretical context of strategic choices faced by academic libraries today, as well as in the future. The choices are progressive, like the stages of a great journey, suggesting a model from the classics of literature to help us understand; but the options available to the manager are real.

Personnel performance appraisal, usually by supervisors (with occasional reliance on peer evaluation), is customarily practiced in academic libraries.[1] The process reflects prevailing management assumptions: The survival of the organization requires oversight, control, documentation, and evaluation of effectiveness, both individual and organizational. The performance appraisal process has come under fire recently, however, because of the growing influence of the principles of total quality; tools and practices used by globally competitive corporations are being applied to other organizations, including college campuses and libraries.[2] Major questions have arisen about the compatibility of performance appraisal and quality management, and they must be addressed.

Leading promoters of Total Quality Management (TQM) — or Continuous Quality Improvement (CQI) — explicitly oppose performance appraisals, which, in their view, either engender fear, or are so general as to be counter-productive. The chief guru of quality, W. Edwards Deming, considered performance appraisals one of the "seven deadly diseases" afflicting management.[3] In like manner, a major critic of traditional educational evaluation asserts that it produces anxiety, is "dysfunctional to human performance," and generally serves "political" purposes.[4] The chorus of criticism is growing in intensity. Performance appraisals are credited with creating far greater anxiety than they improve performance and, indeed, cannot work appropriately.[5] In another view, performance reviews demotivate in three distinct ways: they degrade, hassle, and ignore.[6] One reason for this demotivation is explained by the role of "affect" in shaping managerial judgments. How managers feel about factors not related to job performance (such as dress, hairstyle, race, gender, sexual preference, personality) provide sources for bias in ratings.[7]

The practice is simply unacceptable to the dedicated critic. According to Peter Scholtes, performance appraisals undermine teamwork, ignore the larger system, use unreliable measurements, foster mediocrity through "safe" goals, seek to find culprits for problems, and create "losers, cynics, and wasted human resources."[8] Keki R. Bhote adds that performance appraisal by the supervisor is a "metric whose time has gone."[9] That this criticism has not appeared prominently in the library literature suggests the possible extent of our problem.

There are those who believe performance appraisal and the quality movement to be compatible. Peter Ewell points to parallels and similarities between assessment and quality thinking, and insists that the gathering and utilization of all relevant data is consistent with both movements. In support of this attitude are inescapable basic realities: Workers need feedback, communication, and some idea of how they are doing; the organization needs documentation as an antidote for litigation.[10] The roles and functions played by traditional performance appraisal encompass the general tasks of supervision and the practice of professional librarians as overseeing nonprofessional staff. The central issue is control, a deeply held convention of hierarchy. The instinct is deeply entrenched and may be the final holdout in face of the rising tide of the quality transformation.

What is to be done? An administrator has to make some conscious choices, first between immediate options, and later with regard to long-term vision. And so the journey must begin, a journey that starts prosaically and then ventures into ever more complex spheres, where beliefs and assumptions must be challenged. For a model for our journey let us turn to Dante's Commedia, where the levels of meaning ascend from the literal to the allegorical to the moral and, finally, the anagogical, having to do with final, spiritual matters.

DO IT RIGHT

The first, literal, option is to continue on course, to assume that the organization is permanent, that control is necessary, and that the proper task is to do the job right. Gathering appropriate and current information, designing the necessary information system, providing frequent feedback, measuring extensively, and developing quality communications are the components of a quality information system.[11] Tom Peters emphasizes constancy, simplification, recognition, and reward as the necessary ingredients for a quality performance evaluation program.[12] Breaking the task into measurable components like skill variety, task identity, and task significance facilitate measurement and the enlargement of the job both vertically and horizontally.[13]

Information-based performance planning and monitoring offer sophisticated tools and processes for the levels of analysis needed for the use and evaluation of staff performance measurement and improvement.[14] Measuring, monitoring, and analyzing processes and services is the solution made possible by information technology, and this is one path available to the library manager. But it is a path predicated on organizational stability and control, and that appears short-sighted in a time of massive restructuring of the economy and revolutionary overhauling of major corporate institutions.[15]

PARTNER

The alternative short-term choice is to embrace the quality movement. Here we find a history of steady progression from quality circles to kaizen to suggestion systems through team building to empowerment and, finally, partnering. Here is our second, allegorical level of significance, where a subject takes on meanings that lie outside the narrative itself. The language of quality is practical and real, but the meaning is far more significant because we are talking about a fundamental shift in how employees are treated, an abandonment of control efforts in favor of written agreements and a gradual transmigration from subordinates to partners.

The path to partnering has become symbolic and value-laden. But partnering did not emerge from the womb fully developed. It is the culmination of a process that began with participative management and evolved through the stages of development of the quality movement from quality circles to teams to process redesign through empowerment.

Team building and teamwork are major themes in the literature of quality. The power of collaboration among "compeers" to solve problems and develop innovative processes is noted in a large body of literature. Teams are a natural correlate to staff empowerment; group decision making and peer pressure and evaluation change the work of the manager immediately.[16] Team building is certainly a major path to quality and empowerment.

Empowerment is an overworked buzzword today, demanding careful definition. One popular management book suggests that it means that you "own" your job and have responsibility for directing your own effort, that you have been given clear direction, and that you have the knowledge, resources, and support to carry out the responsibilities.[17] Richard Tabor Greene offers a model of empowerment with seven steps: intervention or challenge; awakening to possibility; confirming action or commitment; viewpoint enlargement; bridge community (opening to new people); formalizing or institutionalizing gains; and formal bridge community, the deliberate choice of new possibilities.[18] There is danger in this approach unless clear goals and shared purpose are in place; empowering people to do their own thing can be disruptive to organizational purpose if the energies unleashed do not serve the common goal.

The Japanese rendering of empowerment is kaizen, or continuous improvement. Kaizen is a philosophy that can guide individual, team, or corporate behavior toward well understood organizational goals.[19] Kaizen should be combined with teian, or employee suggestions, to comprise an elaborate system for getting employee input for continuous improvement. Successful global companies like Toyota are noted for the implementation of thousands of employee suggestions annually. A well designed and comprehensive suggestion system can be a tool for going beyond participative management to obtain the best efforts of an entire workforce.[20]

A final theme regarding empowerment is self-empowerment. An highly influential book (that is outside the "official" quality movement) is Stephen Covey's *The Seven Habits of Highly Effective People*. Covey proposes that the first three of his habits (being proactive, setting goals, and self management) are the road to self-empowerment (though he does not use the term).[21] In the same tradition comes *Quality is Personal* by Roberts and Sergesketter. This work offers personal quality checklists and similarly simple tools for self-improvement as the proper road to Total Quality Management.[22] Dedicated people, and not just educated people, can take a strong hand in managing their own performance. Group self-studies are a current practice consistent with this approach, and have been used in libraries.[23]

A step that falls just short of partnering is the performance targeting proposal of Halachmi, suggesting the replacement of goals set for the individual with a contract spelling out mutual obligations to cooperate in advancing the goals of the operation.[24] This type of contractual agreement acknowledges the critical role of the supervisor in making it possible for the staff to succeed.

The basics of partnering involve putting expectations, projections, and commitments in writing. Integrity, a shift from subordinates to "direct reports," and a move to mutual, written, expectations become guiding principles. Partnering removes problems found with performance appraisals: Expectations are clarified and shared, unproductive behaviors are highlighted, good performers are not slighted so that attention can be devoted to poor performers, and rankings and ratings are avoided.[25] Compensation and reward are negotiated and form a basic cornerstone for partnering. Partnering has emerged as a basic strategy for networking enterprises large and small, as well as a new model for employer-employee relationships.[26] Most of all, the idea of partnering escapes the fatal superior-subordinate "control" dichotomy.

Thus we have our short-term choices: Continue on course, or embrace the quality-partnering continuum. Further along our journey we must turn to higher matters, of long-term strategic — and "spiritual" — significance. The first decision regards a challenging idea to our assumptions about human motivation. How we decide on that issue will influence our approach to long-term strategic thinking.

REWARDS?

For Dante the moral level of understanding concerned threats to the human soul in this world; the character of an individual mattered more than any achievement. Such is precisely the dilemma posed by Alfie Kohn in his highly disturbing book, *Punished by Rewards*. Kohn challenges our most cherished ideals about human motivation by arguing a simple but powerful point: If people are rewarded for doing something, they quickly lose interest in doing that something for its own sake. To reward students for studying assures they will hate it. A bonus for special effort on the job assures that the recipient will never do that work for its inherent interest or value. Outside, or extrinsic motivation is counter productive; only intrinsic motivation lasts.

Drawing on extensive research, Kohn argues that rewards are wrong, ineffective, and counter productive because they punish (all the others), rupture relationships, ignore reasons, discourage risk taking, and, primarily, kill interest! They change behavior ... to get the reward. They definitely do not foster the desired behavior on an ongoing internalized basis. What does Kohn offer as an alternative? Seniority, profit-sharing, level of responsibility each have their merits as a basis for compensation. But the key for a successful organization is to create an atmosphere fostering authentic motivation, and that requires collaboration, freedom to make decisions, and meaningful work.[27]

The importance of this can be found in the fact that most quality management approaches rely heavily on rewards and recognition.[28] The question of rewards, if resolved in favor of Kohn, will require a complete restructuring of the quality movement, but that is beyond our scope. And when we begin to think about this, we soon realize why. Rewards imply a superior-subordinate relationship, and that is the root of the problem.

TRANSFORMATION

It seems rather in bad taste to compare the transformation of the modern organization to Dante's anagogical level of meaning, which alludes to the departure of the soul from this corrupt world to the eternal, the ultimate spiritual or mystical sense. Yet the analogy is strangely apt in that we are talking about the "end of bureaucracy" and hierarchy on the way to something quite different. The organizational structures that served us well in the industrial age are giving way before the power of information and change; the assumptions behind performance appraisal will no longer pertain. This is as true of academic libraries as it is of corporations.

The movement to transform organizations is proceeding on several tracks, with their parallel impacts not always fully observed. For example "downsizing" has become regular fare in the mass media; outsourcing is a popular theme in business literature. The end of bureaucracy, the intelligent organization, and the learning organization are themes of influential new books seeking to guide us. The quality movement has shown the way by reducing organizational barriers to creating responsive organizations, by emphasizing such approaches as customer focus, process innovation, and cycle time management.[29]

There are major obstacles to this transformation. One problem that is becoming acknowledged is professionalism. In *Global Quality* Greene argues forcefully that the status and specialization of professions — as fostered by academe — pose a major threat to the development of quality institutions in America. In contrast with Japan, where professionalism and the Ph.D. degree have been consciously despecialized, professionalism in this country hinders the teamwork, the cross-functional collaboration, and the information sharing necessary for organizational transformation.[30] Other obstacles to the transparent organization include occupational subcultures and the extensive, specialized experience obtained by many skilled and professional workers. Many occupations enjoy degrees of control over their work that survive the most determined organizational transformation effort. Other major obstacles include the high cost of training, managerial and union opposition, and the lack of any institutional mandate for sharing information such as exists in Europe.[31] These stubborn realities comprise major hindrances to overhauling organizations. The chasms between traditional technical and public service librarianship illustrate this problem, as do the incredibly detailed expectations of many intermediate-level job announcements. Professionalism will be a central issue for librarians in the decades ahead.

Transformation, however, is far more than reengineering an organization, or making it flat or responsive: It involves destroying the old to make way for the new. Tom Peters discusses "necessary disorganization" to achieve the required flexibility.[32] Gifford Pinchot proposes entrapreneuring as a means to replacing bureaucratic procedures with freedom of choice to gain market-driven reponsiveness.[33] Brazil's anarchic Semco utilizes "unsupervised, in-house, company-supported satellite production of goods and services" allowing use of company equipment by contractors and associates to survive major recession and restructuring.[34] A step just short of transformation is the transparent organization, one that includes the customer in planning and process until the organization becomes transparent to its customers. In this company customers are never "transferred" to someone else to help them; the first person contacted resolves their problem.[35]

All of the changes discussed above involve continual learning. The successful organization of the future will be a learning organization. There is a great deal of irony here as we turn to the learning organization as a model for the library. The library is supposed to be a central component in the learning process, but we have not "walked our talk" regarding training and staff development compared to Motorola and the armed services.[36]

The learning organization is still poorly defined and understood. Charles Handy suggests that the learning organization is always answering a question, testing a theory, or solving a problem.[37] For Chris

Argyris it is detecting errors, taking action, and correcting errors.[38] Peter Senge suggests that the learning organization goes beyond personal mastery, mental models, the development of shared vision and team learning to achieve systems thinking through the development of "communities of servant leaders."[39] Daniel Tobin offers five principles of the learning organization: everyone is a learner, people learn from each other, learning enables change, learning is continuous, and learning is an investment rather than an expense.[40] The best and most succinct definition comes from David Garvin, "A learning organization is an organization skilled at creating, acquiring, and transferring knowledge, and at modifying its behavior to reflect new knowledge and insights."[41]

Shoshana Zuboff outlined the problem and the solution a few years ago in *The Age of the Smart Machine*. Hierarchy is dysfunctional in the information organization, and new forms of authority are required. A new image of work must prevail, one based on equality, experimentation, and the expansion of knowledge. Productivity today is learning; learning is the new form of labor; the work of management and therefore, amounts to intellectual skill development, technology development, strategy formulation, and social system development.[42]

Leaders and organizations alike must learn new skills and competencies in the coming days. Whether the goal is understanding what the customer truly needs, overcoming professional entropy, or building teams, librarians must cultivate the requisite skills to accomplish the desired goals. We have the ability to learn, as well as colleagues and organizations skilled at accessing information and adapting to new technology. If we could just stop worrying so much about where we have been during the past year and to what degree employee X achieved their goals, we would have more time to find our way through this learning process.

Vergil and reason can guide us through information gathering and analysis and show us new vistas through the promise of participation and partnering. But this journey may require acts of faith if we are to follow our Beatrice and perceive higher truths beyond where our bureaucracies and professionalism can take us.[43] One thing we can be sure of: The journey will not be easy.

NOTES

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PERFORMANCE APPRAISAL IN AN ACADEMIC LIBRARY: A CASE STUDY

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Performance appraisals are a necessary part of an organization's quality control process to ensure that customers get the service they deserve (Kadushin in Pecora and Austin, 1987:57). Well-designed performance appraisals should

- Provide employees with adequate feedback concerning their performance;
- Serve as a basis for modifying or changing behavior toward more effective working habits; and
- Provide managers with data which they can use to judge future job assignments and compensation (Levinson, 1976).

They can provide "... a profile of the organization in terms of its human resources strengths and weaknesses, an inventory of employees' skills and experiences, and an evaluation of the firm's human resources capital" (Fombrun and Laud, 1987:33).

However, both managers and employees are often uneasy about performance appraisal. Some of this unease, according to McGregor (1987:5), is a function of the perception that conventional appraisal processes smack of product inspection and conflict with convictions about "the worth and dignity of the human personality." Poorly designed appraisal systems may be used as a short-term control systems rather than long-term strategic sources of information for planning (Fombrun and Laud, 1987:38), may be ineffective in identifying work habits or behaviors that need to be changed, and will provide data that are invalid for deciding on "promotability" or compensation. Such systems can create fear and mistrust, lowering employees' self-esteem and productivity, and hindering the provision of quality service.

Despite the importance of performance appraisal, it has been neglected in management practice. One reason is that performance appraisal is complex and, in the early stages at least, the process requires time and effort. Managers seeking to institute fair and efficient performance appraisals will find themselves having to continuously consult, communicate, modify, and train. Another reason is that many managers do not collect data on how the performance appraisal systems they use affect their staff. Therefore, they are unaware of the importance of these systems as a management tool.

The University of the West Indies (UWI) is an international institution serving 14 different territories. Its three campuses are located at Cave Hill in Barbados, St. Augustine in Trinidad and Tobago, and Mona, in Jamaica. Enrollment at the University is over 14,000, with about 8500 students registered at the Mona Campus for the 1993/94 academic year.

The UWI Library is the chief information resource center supporting research and teaching. The library at Mona holds some 475,000 volumes and about 8000 current periodical titles. Its collections are divided among three locations: the Main Library, and the Science and Medical branch libraries. The UWI Library at each campus is headed by a Campus Librarian. One of these is appointed as University Librarian, the administrative head of all three campus libraries. The professional staff at Mona comprises the Campus Librarian, Deputy Librarian, and 21 other librarians.

Past performance appraisal of professional staff has been almost exclusively associated with the system of staff review for renewal of contract, promotion or indefinite tenure. This review system used at the university has been in operation for a long time with some minor modifications. Recently, however, there have been some changes in the appraisal of certain categories of university staff, including librarians. These changes have to do with how appraisals are carried out at the departmental level and involve the introduction of an appraisal form.

This paper will describe the review system, how performance appraisal was carried out in the past, and the changes made to the appraisal process at the departmental level. It will also present findings from a questionnaire survey on how librarians perceive the performance appraisal process before and since the new performance appraisal instrument has come into use. Based on the findings, the new performance appraisal process will be evaluated using a framework based on Total Quality Management (TQM).

THE REVIEW SYSTEM

Review of librarians is carried out annually for all assistant librarians and, for other categories, when the person is being considered for renewal of contract, promotion to a higher grade[1], crossing a merit bar, or indefinite tenure.

Criteria for assessment

According to the *University of the West Indies Calendar, Vol. I: the Charter, Statutes and Ordinances. 1984 (with amendments to 1991)*, Ordinance 8.18 (iii.c), the criteria to be used for review of librarians are professional competence, professional experience, professional activity, administrative ability, scholarship, contribution to university life, and public service.

These criteria have been expanded to provide guidelines for assessing the performance of professional staff. For example, professional competence includes the elements performance of duties and interpersonal skills. The following statements outline some of what is meant by interpersonal skills:

- Works well with others, both colleagues and users (ready to cooperate);

- Has a positive influence on other members of staff;

- Flexibility/adaptability; and

- Ability to accept and make suggestions/criticisms in a harmonious manner.

The appraisal of a librarian for review purposes was carried out as follows:

1. **Assessment by supervisors.** This included the librarian's immediate supervisor as well as the Campus Librarian at each campus. The immediate supervisor's assessment was based on observation of the librarian over time, and guided by the university's criteria for assessment. In writing the report, the supervisor developed "narrative evaluations of the employee's work behavior or job-related personality traits" (Pecora and Austin, 1987: 63). The report was sent under confidential cover to the Campus Librarian. The Campus Librarian's

report and recommendations were based on his/her observations and incorporated the supervisor's assessment. This document was submitted to the Library Assessing Committee.

2. **Review by a committee of peers.** The Peer Review Committee comprises seven librarians, five of whom are elected by the staff from among their peers. The other two members are the senior librarians who head the Medical and Science branch libraries. The Committee, therefore, excludes the Campus Librarian[2] and the Deputy Librarian qua Deputy.

The Peer Review Committee, under the leadership of its elected Chairman, assessed the curriculum vitae, prepared by the librarian specifically for the review, and discussed the performance of each librarian up for review. The method tended to be a subjective one as defined by Howell and Dipboye (quoted in Pecora and Austin, 1987: 61). Assessment was based more on observation of what people did, rather than by examination of concrete outputs. Some attempt was made to relate the individual performance to that of other librarians using group norms. A report on the staff member was written. This report was signed by each member of the Committee, signifying agreement and then submitted, under confidential cover, to the Campus Librarian. It was passed on to the Library Assessing Committee.

3. **The Library Assessing Committee.** This committee comprises the Pro-Vice-Chancellor for Academic Affairs (Chairman), two Deans, the Head of the Department of Library Studies, the University Librarian, and one librarian elected by peers to serve on the committee. (The position on the committee is rotated on a regular basis among the three campuses). The Senior Assistant Registrar serves as Secretary to the Committee. Each Campus Librarian is invited to be present when the cases from his/her library are being considered.

The Library Assessing Committee received and reviewed the following documentation:

- The librarian's curriculum vitae

- The Peer Review Committee's report

- The report of the Campus Librarian

- Referees' reviews of the librarian's publications.[3]

The recommendations of this committee, which may or may not have agreed with those of the Campus Librarian, were sent to the University Assessment and Promotion Committee. Recommendations were made at this level, and further submitted to the Campus Appointments Committee or the University Appointments Committee depending on the rank of the person being assessed. While the University A & P Committee "shall not be bound to give reasons for any decision, but may give such reasons which shall be communicated in writing to the member of staff to whom the decision relates,"[4] usually, the University Librarian was requested to speak to individuals whose reviews were adverse.

THE NEW PERFORMANCE APPRAISAL PROCESS

While the review system remains substantially the same, the new appraisal process which occurs at the departmental level reflects some important changes. In the new process, all librarians are evaluated annually. The appraisal instrument now being used allows for input by the member of staff in his/her evaluation.

To start the assessment procedure, each

assessee fills in a prescribed form identifying:

- Duties and responsibilities during the year under review;
- Any major achievements for which he/she was wholly or largely responsible;
- Changes/improvements related to systems at work or the university as a whole that the librarian has proposed;
- Significant ad hoc assignments;
- Areas of competence and/or discomfort with work;
- Obstacles to performance; and
- Proposed career path and training necessary.

The supervisor then rates the assessee's performance within the framework of the university's criteria previously outlined, on a scale of 1-5 for each criterion. These scores will provide a profile of the individual's performance over three years, the normal contract period.

The supervisor's evaluation is discussed with the assessee who confirms by signing that this has been seen and discussed. Any librarian who wishes to dispute the evaluation can do so under separate cover. The form is then sent to the Campus Librarian who adds comments.

THE STUDY

A questionnaire eliciting the perceptions librarians hold of the old and new processes was administered to 22 members of the professional staff. Of this number, 15 returned questionnaires.[5] Given the small size of the population, the level of significance was put at 0.10. Since the respondents were not randomly sampled, the views elicited are those of the population responding and are not necessarily those of the professional staff as a whole. However, some findings may indicate trends, as the population constitutes about 68 percent of the librarians on staff.

While the research was largely descriptive, the author felt that there might be differences in the perceptions of the old and new processes based on a respondent's tenure, length of service, status and whether a respondent was a supervisor or not. Therefore, these were included as explanatory variables.

Of 14 persons who provided relevant information, seven had tenure: one had tenure for less than five years, four for five-ten years, and two more than ten years.[6] Length of service of the population varied. Eight persons had served ten years or less, and six over 15 years. Nine were Assistant Librarians/Librarians III and five fell into the group "Librarian II or above." There were five supervisors responsible for assessing subordinate professional members of staff.

PERCEPTIONS OF THE OLD PROCESS

Table 1 shows the level of agreement with selected statements about the old appraisal process.

The high level of agreement among the respondents is interesting. On nine of the 12 statements, 12 or more persons shared the same view with unanimity on one statement that the input of external customers was not taken into consideration. Most respondents found that some features regarded as "basic" to any appraisal process were lacking. Pecora and Austin (1987:71) state, "Both workers and supervisors need to have a common 'vision' and understanding of the central purposes, goals, functions, and philosophy of the organization. This understanding forms the foundation for both worker commitment and clarity of job tasks to be performed."

As a group, the respondents were unclear about the library's goals, as well as their own duties and responsibilities. Only three persons felt that, under the old process, the library's goals were clearly defined and only two felt their own goals were clearly identified. The findings suggest that job requirements were somewhat fluid or vague. Further, mutually agreed upon performance goals and standards are a necessary criterion of effective performance appraisal (Morrisey in Pecora and Austin, 1987:61-62). Yet, only one person found this criterion satisfied. If goals are not defined clearly, duties not identified precisely nor arrived at by consensus, performance of tasks is not likely to have been the main focus of appraisal.

Schneier, Baird, and Beatty (1987:258) suggest that, in an organization moving towards quality service, all systems, including performance appraisal, must be aligned with the organization's mission. Thus, quality improvement objectives must be integrated into strategic and operating plans and objectives, and incorporated into the performance appraisal system. Six of the 15 respondents agreed that the input of internal customers was taken into consideration. However, according to the respondents, external customers were not taken into consideration. TQM theory insists that not only should the needs of both groups of customer be defined, but also that some assessment of the extent to which these needs are satisfied directly or indirectly by each member of staff is necessary.

Communication about the process was lacking, with only three persons agreeing that feedback was provided voluntarily by supervisors. This lack meant that the primary aim of the former process was not that of providing information to employees regarding their performance, thus assisting them to make modifications toward more effective behavior. Evidently, the process functioned more in regard to promotion, renewal of contracts and so on than in terms of the development of staff. In fact, about half the respondents disagreed (some "strongly") that it contributed to individual or staff career development (Table 2).

On average, review took place once every three years. A majority of the respondents felt that this frequency was adequate. However, had the performance appraisal process been viewed as a performance management tool rather than as a tool for review and promotion decisions, then both assessors and assessees should have felt the need for at least an annual appraisal.

Kirkpatrick (1987:265) suggests that, in assessing appraisal systems, two questions deserve high ratings across the board, whatever the objectives, forms or procedures used. These questions are: Do people know what's expected? and Do they know how well they are doing? In a system unable to answer positively to these two questions, there may be "performance deficiencies, and feelings of insecurity, and other problems."

Table 2, like Table 1, supports the view that the process was viewed negatively generally. The strongest feelings seemed to be associated with

- **The perceived subjectivity of the process.** As far as the respondents were concerned, there was insufficient attention to setting clearly identified and mutually agreed performance objectives and standards (Table 1). In the face of this, respondents perceived that their assessment tended to be subjective.

- **The limited scope for registering disagreements.** At the review level, an assessee can appeal if he/she disagrees with a review decision. The conditions for and process of appeal are identified in the university's ordinances. However, there was no formalized procedure for registering disagreements with assessment at the departmental level.

- **The emphasis on publications.** Publications is a requirement of the university for all staff with academic status. No quantitative standards have been set for publications though librarians are not expected to be as prolific as lecturers. In spite of this, there is some resistance to this requirement, expressed in this perception of "overemphasis" by nine respondents.

At first glance, the generally negative perception of the old process could lead one to conclude that, overwhelmingly, librarians would have found it demotivating or generating insecurity or fear. On the contrary, a majority of respondents did not find it so. However, there were some respondents who found the process demotivating or fearful.

A peer review committee performs an important function, not only in the review system but also in appraisal. According to Edwards and Sproull (1987:157), extensive research shows that "… when many individuals rate an employee's performance, the consensus they reach is more reliable, credible, and defensible (and often less biased) than the supervisor's sole judgment." Also, the assessee should more easily accept the findings. Peer review may also provide an added perspective on how employees perform as members of a team. For peer review to function satisfactorily, however, the weighting given to its recommendations must be fully understood, and its findings communicated to the employee. The former process did include review by a librarian's peers but 11 persons were unsure whether the review was satisfactory.

Respondents were asked to score both the old and new processes on seven constructs normally associated with TQM. The marks were out of ten with ten being the "best" score. One-way analysis of variance (ANOVA) was used to see if there was any association between mean scores and the predictor variables identified earlier. It was soon apparent that there was a high degree of redundancy among the predictor variables. Consequently, results are presented for tenure and status only.

Table 3 shows mean scores for the former process. The score for each construct was very low, with participation predictably being given the lowest score. These findings confirm those in Tables 1 and 2. The table confirms, too, the unanimity noted above. There was no statistically significant difference in mean ratings between staff who had tenure and those who did not. However, despite the fact that there was no statistically significant difference between any of the pairs of scores, it was interesting that, on six of the seven values, persons with tenure scored the process higher than persons without. Using the Mann-Whitney U test, this result was significant ($p < .10$). A randomly selected person with tenure is likely to score the old process higher than someone without.[7]

Table 4 is largely a repeat of Table 3 because of the redundancy referred to above. Librarians at Level II or above felt somewhat better about the old process than junior librarians, but there was no statistically significant difference between the groups on any construct.

Evidently, persons further along the career path have learned to accommodate a process that even they have viewed critically. Perhaps their greater security have led them to view the system slightly less negatively than those who are not as secure.

PERCEPTIONS OF THE NEW PROCESS

The new form to be completed by staff elicits staff input regarding duties and responsibilities for the year under review. With few exceptions, respondents felt that all questions should be retained on the new form. Table 5 shows that, overall, the new process is viewed in a more positive light than the former process although 11 respondents felt that there should have been more input from staff in the construction of the form. The respondents seemed to be dissatisfied, not with the content of the form, but rather the lack of participation in its design. Staff involvement in the design of an assessment process generally and, more specifically here, in the design of the appraisal form, will probably result in a more "user-friendly, customer-driven" performance appraisal (Schneier, Beatty and Baird, 1987b:13) and a sense of ownership. Perhaps some of the negative perceptions that are still linked to the new process are a result of lack of ownership.

There is insufficient consensus on the likelihood of the new process being objective, and insufficient attention so far to the mutual setting of and agreement on performance objectives. These two factors are interrelated. The more the assessments relate to clearly defined performance objectives, the less likely the appraisal process will be viewed as subjective.

The new process allows for discussion of the evaluation with the supervisor as well as inclusion of assessees' comments and the previous scope for appeal of review decisions still exists. Yet only six persons felt that there was adequate scope for registering disagreement. This may mean merely that, as the process has just been implemented, respondents are being conservative in their expectations. It could also imply that respondents are unclear about the weighting their comments will receive.

Respondents were asked which criteria[8] should be retained for use in the new process. Most respondents felt that all should be retained (with least support for the criterion, "Contribution to University life") (Table 6). However, this should not be seen as an unqualified endorsement since ten of the 15 respondents were "Unsure" whether these same criteria (used in the old process) were appropriate (see Table 2). It may indicate, therefore, a lack of knowledge of alternatives. In addition, some respondents expressed reservations about some criteria with regard to weighting, the amount of time required to fulfill some criteria and whether all criteria were applicable to everybody.

Table 7 shows the mean scores for the new process on selected constructs by tenure of respondent.

The first difference between the scores in this table and those in Table 3 is that the scores in this table are all higher than their counterparts (Table 8). But these changes were predictable from the data in Table 5. Still, it is suggestive that the greatest change occurred in the scores for "Participation by assessee in process." What is being underscored here is the degree to which participation and, by extension, ownership change the way a person feels about an appraisal process.

Table 7 shows, too, that the optimism of respondents with tenure was less guarded than those without. This time, however, there were significant differences in four cases. And despite the small number of responses, differences were significant at the .05 and .01 levels.

The constructs on which the differences were most significant were participation by assessee in process; clarity about tasks assigned; agreement on performance standards. There are several reasons why this might have happened:

- These constructs relate to aspects of the appraisal process whose implementation depends primarily on supervisors.[9] Because of this, questions about these constructs will be more threatening to supervisors and there is greater pressure on them than on assessees to score these constructs higher;

- Newer members of staff, those without tenure, do not know as much as tenured staff about the process because they have not been as involved in its design. Staff with tenure have enjoyed greater involvement with it at senior level meetings;

- Untenured staff are less secure and, therefore, more conservative in their expectations;

- Although both groups of staff were negative about the old process, those lacking tenure are more likely to have viewed the deficiencies of the old process as contributory to their lack of tenure. This makes them less likely, in turn, to buy into any changes taking place; and

- Those persons administering the system will view small gains more favorably than those lower in the hierarchy.

Table 9 shows the results by status. There were significant differences on the same constructs though the levels of significance were lower.

The new performance appraisal (PA) process is viewed in a more positive light than the one it replaces. Yet, the program has not been "sold" sufficiently to all members of staff and while some of the reservations could have been due to a "wait and see" approach, librarians lower in the hierarchy were more guarded in their optimism. Special attention should be paid to those with the greater reservations, so that the gains are not lost.

COMMENT

In TQM philosophy, developing an organization's human resources is essential to delivering quality service. A committed and empowered team of people will be essential for the delivery of high quality service to external customers. It is therefore important for any organization undergoing self-review to examine its policies and procedures regarding its internal customers as well as its external customers. What do our internal customers most value? What are the barriers that rob people of pride in their work? How can the potential of all employees be released? TQM philosophy suggests that managers need to eliminate fear, encourage self-improvement through training and ongoing education, involve staff in decision making and emphasize communication.

While the University of the West Indies Library has not officially launched a TQM program, there has been increased emphasis on delivering a high quality service especially in view of the recent increases in the cost of tuition borne by students in a straightened economy. There are likely to be many similarities between the UWI (Mona) Library at such a stage and other academic libraries in the initial implementation stage of a TQM program. There will be much rethinking and reexamination of past policies and changes in procedures. In a milieu of change increased emphasis on the human resources of the organization becomes necessary.

As performance appraisal is one area of management which may have significant impact (positive or negative) on employees, this is a prime area for focusing attention as an organization undergoes change. TQM philosophy suggests some ways in which performance appraisal can be made more responsive to the needs of staff, and more beneficial for the organization.

COMMUNICATION

Kirkpatrick (1987:266) lists the requirements of performance appraisal (PA) processes. All participants must understand the process, and there must be clear and direct communication between all parties involved. Neither the designers of nor the participants in the new PA program in this library seemed to have accorded sufficient importance to the element of communication. Yet it is vital that everyone understand what is being assessed, how and why. There must also be clear and ongoing feedback. Feedback is not only important for clarifying individual weaknesses and strengths, but also ensures that those being assessed understand how the process is in fact operating.

Further, Kirkpatrick insists that all participants must be convinced that the program is worthwhile. The program must be sold. The research showed that even those respondents who scored the new process above average did not award it "Excellent" scores. They, too, have reservations. Resistance to appraisal programs does not come from assessees only but also from supervisors. McGregor (1987:4) attributes supervisors' resistance to normal dislike of criticizing a subordinate, lack of skill, dislike of changes accompanying a new procedure and "mistrust of the validity of the appraisal instrument."

The art of communicating can only develop with constant practice. As assessors and assessees become more comfortable with communicating reservations or fears, as goal setting comes via discussion, and as feedback becomes ongoing rather than an annual exercise, the relationship between supervisor and assessee is more likely to be a mutually supportive and nurturing one.

SETTING THE RIGHT GOALS

It is important that goals be set, but even more important that these goals be the right ones. The right goals are those that take into account the needs of the people the library aims to serve as well as the needs of those serving the clientele. These goals must evolve from a clear understanding of and commitment to the overall mission of the library of providing quality service to customers. The mission statement is what will provide a focus and result in "constancy of purpose" among employees (Mackey and Mackey, 1992:58).

While this library's new PA process has increased the emphasis on mutual goal-setting, Levinson's (1990) critique of the MBO-type approach to goal setting are salutary. He sees it as imperative that employees' personal goals be taken into account, as "the highest point of self-motivation arises when there is complementary conjunction of the subordinate's needs and the organization's requirements" (205). Care must be taken also that the goal-setting process does not become a static and sterile one with little room for creativity and "spontaneity of service and self-assumed responsibility." Some element of team goal setting and appraisal of group and team-members' contribution must be built in. Appraisal of supervisors by subordinates should also be included since the supervisor has some responsibility for what the worker does and how it is done.

There will be difficulty in clarifying and agreeing on what is to be appraised, especially for professional work in which there are a variety of tasks, unprogrammed work and complex requirements (Schneier, Beatty and Bird (1987:9). Much of the important work of librarians cannot be quantified and, if quantifiable, cannot be easily monitored. From the perspective of the customer, an important requirement from a reference librarian is a user-friendly attitude. But how is this measured in the one-on-one contact between librarian and customer that begins at the circulation desk and ends up in the West Indies and Special Collections by way of the Reserved Book Collection? A preoccupation with numerical data is misplaced (Deming's eleventh point) and some assessments require nothing more "scientific" than sound judgment using qualitative data.

EMPOWERMENT

People begin to be empowered when fear is driven out. Performance appraisal that is perceived as exclusively linked to decisions about promotion, and that emphasizes the "defects" of the employee without taking into account defects of systems, are likely to create fear and insecurity.

But the academic librarian is also empowered by a sense of autonomy. Autonomy may be fostered by encouraging involvement. Participation in the design and application of the PA program, for example, will increase the likelihood that all members of staff, including the newer recruits feel a sense of ownership. It is by encouraging this sense of ownership that some of the fears regarding performance appraisal will be allayed.

Some element of self-assessment is also desirable for professionals and can be formally incorporated in the new assessment process (McGregor, 1987). The onus would be on librarians to draw up a document to define broad areas of responsibility. They would then use this to establish their own short-term performance goals and strategies. The supervisor would assist in modifying this document by relating individual performance objectives to those of the library. At the end of a specified period, the librarian would carry out self-appraisal based on the targets set previously. The supervisor and librarian together would discuss this self-appraisal and set new targets.

Self-appraisal should mean a shift for the employee from passive to active, and for the PA process from past, limited knowledge and appraisal of personality to future, self-knowledge/insight and analysis of performance. McGregor reminds that the supervisor has veto power at each step of the process. However, this rarely needs to be exercised, as most subordinates tend to be realistic about potentialities and achievements, especially if their evaluation is completed before that of the supervisor. As under TQM, the supervisor's role becomes that of consultant and coach (Grant, Shani and Krishnan 1994:28).

TRAINING

Deming emphasized the importance of training, education, and self-improvement in a quality-focused organization. Training and retraining staff can lead to increased pride in work, prevent burnout, prepare staff for advancement, and reward initiative (Mackey and Mackey, 1992:59,61). Further, training provides an opportunity to "teach an employee how to do a job within the culture of the organization."

In the old process, lack of clarity in

performance goals may have contributed to what many respondents perceived as inadequate training for all duties. The new instrument allows employees to identify formally areas of their work with which they are uncomfortable, and factors preventing performance of duties. Coming out of this, areas for training will be identified so performance can be improved.

Those carrying out the review must also be trained. Appraising performance does not come naturally. Assessors need to have some basic training in what and how to observe, how to document observations, pitfalls to avoid and how to coach employees. If employees feel assured that those assessing them are aware of these elements, they may not fear evaluation. Supervisors also are more likely to feel confident.

CONCLUSION

Based on the responses, the superiority of the new assessment process lies in the increased participation, clarity, objectivity, transparency, and communication over the former process. However, this superiority is relative. The scores on the new process indicate that more needs to be done, particularly in the areas of goal setting, agreement on performance standards, communication, and participation generally. As implied above, one challenge is to retain and increase the support of the more senior members of staff while, simultaneously, providing opportunities for lower level staff to "buy in" more fully to the process. If this challenge is met, the new process will contribute to the empowerment of all professional staff.

NOTES

[1] In ascending order are Assistant Librarian, Librarian III, Librarian II. The grades Librarian III and II contain salary 'merit bars.' There are specific criteria for crossing the merit bars. Deputy Librarian, Campus Librarian, and University Librarian are appointees.

[2] Up to 2 years ago, the Campus Librarian chaired the Peer Review Committee.

[3] The publications are refereed by subject specialists outside the Library, and if possible, at one of the other campuses.

[4] *University of the West Indies Calendar, Vol. I: the Charter, Statutes and Ordinances. 1984 (with amendments to 1991).* Ordinance 8.22.

[5] The author excluded herself from the survey.

[6] 'Tenure' refers to indefinite tenure.

[7] This pattern is repeated in the other tables.

[8] The criteria used in the questionnaire were taken from 'Excerpt from Minutes of Meeting of Library Assessing Committee held on Friday, July 10, 1992.' The criteria identified in that document were 'Professional competence,' 'Performance of duties,' 'Interpersonal skills,' 'Administrative/Supervisory ability,' 'Scholarship,' 'Professional activity,' and 'Contribution to University life.'

[9] As already noted, tenure is a close surrogate for supervisory status, as most supervisors on staff have tenure.

Table 1. Level of agreement with statements about the old process

STATEMENT	NUMBER AGREEING
Frequency of assessment was adequate	9
The main focus of the appraisal was performance of tasks	1
My duties and responsibilities were always clearly identified	2
Training for all duties was adequate	3
The Library's goals were always clearly defined	3
The main focus of the appraisal was personal attributes	3
The input of external customers was taken into consideration	0
The input of internal customers was taken into consideration	6
Feedback was provided voluntarily by the supervisor	3
The feedback process identified a librarian's weaknesses	5
Duties/responsibilities to be assessed were agreed between supervisor and assessee	1
The feedback process identified a librarian's strengths	2

Table 2. Numbers of persons disagreeing with, unsure of, or agreeing with selected statements about the old process

STATEMENT	DISAGREE	UNSURE	AGREE
The assessment process contributed to career	7	4	4
Overall the assessment process was demotivating	8	3	4
The criteria for assessment were appropriate	1	10	4
The assessments tended to be subjective	0	5	9
There was adequate scope for registering disagreement with assessments	9	2	4
The assessment process contributed to my own career development	8	4	3
The process generated insecurity or fear	6	3	6
The assessment process was sufficiently transparent and open	6	5	4
The peer review process was satisfactory	1	11	3
Too much emphasis was placed on publications	2	4	9

Table 3. Mean scores on selected constructs [old process], respondents with tenure and those without

CONSTRUCT	OVERALL MEAN	HAVE TENURE?		MISSING CASES
		YES	NO	
Objectivity of process	3.80	3.83	3.75	5
Participation by assessee in process	1.58	2.14	0.80	3
Clarity about tasks assigned	3.50	3.83	3.00	5
Specificity of output expected	2.56	2.40	2.75	6
Agreement on performance standards	2.40	3.17	1.25	5
Transparency of process	2.30	3.17	1.00	5
Process supportive of career development	2.36	3.14	1.00	4

Table 4. Mean scores on selected constructs [old process] by status of respondent

CONSTRUCT	OVERALL MEAN	STATUS		MISSING CASES
		LIB III	LIB II	
Objectivity of process	3.80	3.80	3.80	5
Participation by assessee in process	1.58	1.29	2.00	3
Clarity about tasks assigned	3.50	3.00	4.00	5
Specificity of output expected	2.56	2.60	2.50	6
Agreement on performance standards	2.40	1.67	3.50	5
Transparency of process	2.30	1.20	3.40	5
Process supportive of career development	2.36	1.00	4.00	4

Table 5. Responses to new process/form

STATEMENT	YES	NO	DON'T KNOW
The provision for inclusion of staff member's comments is adequate	8	5	2
There is adequate scope for registering disagreement with evaluation	6	6	3
Some questions are threatening	7	6	2
The new process is likely to be subjective	9	4	2
Performance objectives for the year have been discussed and agreed on	4	8	3
Feedback is likely to be satisfactory	7	4	4
The construction of this form could have had more input from library staff	11	2	2

Table 6. Number of persons agreeing that criteria should be retained

CRITERION	NUMBER. OF PERSONS
Professional competence	13
Performance of duties	13
Interpersonal skills	13
Administrative/Supervisory ability	13
Scholarship	12
Professional activity	12
Contribution to University life	9

Table 7. Mean scores on selected constructs [new process] by tenure

CONSTRUCT	OVERALL MEAN	HAVE TENURE?		MISSING CASES
		YES	NO	
Objectivity of process	6.20	7.17	4.75	5
Participation by assessee in process	6.00	7.29	3.75^{***}	4
Clarity about tasks assigned	5.56	6.83	3.00^{**}	6
Specificity of output expected	4.63	5.60	3.00	7
Agreement on performance standards	5.38	7.00	2.67^{**}	7
Transparency of process	5.63	6.50	3.00^{*}	7
Process supportive of career development	4.50	5.00	3.33	5

***: p < .01 **: p < .05 *: p < .10

Table 8. Overall mean scores for constructs by tenure - old and new processes

CONSTRUCT	OVERALL MEAN SCORE	
	FORMER PROCESS	NEW PROCESS
Objectivity of process	3.80	6.20
Participation by assessee in process	1.58	6.00
Clarity about tasks assigned	3.50	5.56
Specificity of output expected	2.56	4.63
Agreement on performance standards	2.40	5.38
Transparency of process	2.30	5.63
Process supportive of career development	2.36	4.50

Table 9. Mean scores on selected constructs [new process] by status

CONSTRUCT	OVERALL MEAN	STATUS		MISSING CASES
		LIB III	LIB II	
Objectivity of process	6.20	5.00	7.40	5
Participation by assessee in process	6.00	4.50	7.80^{**}	4
Clarity about tasks assigned	5.56	3.75	7.00^{*}	6
Specificity of output expected	4.63	3.00	6.25	7
Agreement on performance standards	5.38	3.50	7.25^{*}	7
Transparency of process	5.63	3.67	6.80^{*}	7
Process supportive of career development	4.50	3.40	5.60	5

***: $p < .01$ **: $p < .05$ *: $p < .10$

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INTRODUCTION

C. Brigid Welch
ARL Office of Management Services

CLOSING SESSION
TQM AND LIBRARIES: A FORMULA FOR CHANGE

Thomas Shaughnessy
University Librarian
University of Minnesota

MS. WELCH: Good morning. Welcome back. I'm pleased this morning to have an opportunity to introduce Dr. Shaughnessy, our conference observer. Since 1989, Dr. Shaughnessy has served as University Librarian at the University of Minnesota, Minneapolis, which is the eighth largest public university library collection in the United States and has a staff of about 325 and an annual operating budget of approximately twenty-nine dollars.

During his career, Tom has worked both in library administration and library education. He holds a doctorate from Rutgers University and an MLS from the University of Pittsburgh.

When we were thinking about who to invite as our conference observer, Tom's name came to mind almost immediately. He has made thoughtful, concerted contributions in the area of library management, leadership, and library effectiveness.

In the area of Continuous Improvement, his most recent article, "Benchmarking Total Quality Management in Libraries," which appeared in 1993 in the *Library Administration and Management Journal,* has been mentioned many times by the conference in the last few days, and of course there is my favorite, "Making the Boss More Effective," which appeared in the *Journal of Library Administration.*

The title of Tom's presentation this morning is "TQM and Libraries: A Formula for Change." Dr. Shaughnessy.

MR. SHAUGHNESSY: Thank you very much, Brigid.

I think it was Mark Twain who said this talk would have been half as long if I had more time to prepare it.

Anyway, as some background to this, I have a question. Why are we all interested in TQM? Why is this such an important concept for us? There are TQM conferences, of course, going on all over the country. It seems that in every major city every month there is a flier from some outfit coming in, whether it's Career Tracks or some other outfit, that's doing a session on TQM. What does this emphasis, this interest in TQM say about our libraries?

I think it says many things. One of the things explains my own interest in TQM. It says that things are not all that right in our libraries. Things are not all that right, and I think we're all concerned. We have this sense of anxiety and unease about where we're headed. How can we be more effective, and how can we serve our customers more efficiently?

When a conference comes up such as this one that's focused so intensively on the tool box and the theories that are included in this concept of TQM, I think that explains this large attendance and great interest in the subject. At the end of my remarks, I hope that you will share your ideas and give some advice to ARL should they do something like this again. I think this is a wonderful idea, but ARL is a kind of membership focused organization. They would like to pay attention to their customers. You are the customers, and they want to hear from you as to what their next moves in this area should be.

So at the beginning, I thought I would share my own anxieties with you. This is sort of a catharsis for me. I don't know what it's like for you, but I get these out, not to overstate the case too intensively or too pointedly.

There is every reason for us to be concerned about our libraries, about our universities, and about what is happening in the world and higher education today. We know that support for higher education is declining precipitously from the chronicle of how our colleges and universities are trying to put the brakes on tuition increases. Some are more successful than others, but you see that the tuition has gone up enormously. Total higher education support is decreasing demonstrably, and allocations to higher education is even in worse shape. We are faced with the situation that life as it used to be is no longer.

Those of us who were around in libraries in the '60s and '70s can look back and say, "If I only had that kind of support. If we only had that kind of money today." So there is an undermining of this problem that we have with what is happening in regard to support for higher education.

There is also the movement, and this was mentioned in some of the sessions, towards greater accountability, measurement. There are now regents or curators of Boards of Regents now attending classes in some of our state universities. There is all this research that's going on as to how many classes a faculty member teaches a year. There is much greater attention to accountability and measurement.

Parents are beginning to ask if their children graduate in four, five, or six years, are they going to get a job or not? Is it the mission of our universities to assure people of getting a job? That's becoming a major concern, and some feel that the spirit of vocationalism is going to overpower the whole notion of a broad-based liberal arts education. So there is this emphasis on measurement and accountability, which I think is well placed in many, many cases, because we haven't paid attention to this in the past. This factor is also influencing what we're about, and I think it has a lot to say about why we're here today.

We know, of course, about all the technological developments. We also see shifting state government priorities. If you were to ask a state legislator, as I have done recently, what his/her priorities are, you will get a kind of list. What's the first concern? Crime and drugs; you have got to build more prisons. What's Number 2? Health care, especially for our senior citizens. Let's face it. It's the seniors who do the voting these days, so health care.

Several legislators have told me that our universities are the best in the world. They are at the top. Students from all over the world scramble to attend universities in the United States, but our K through 12 education is among the worst in the world. So, they are saying universities have had their day in the sun and it's now time for K through 12 education.

Welfare reform, taking care of the homeless, the disadvantaged, is a priority in many, many of our states.

Then there are the regional issues, and these will vary from state to state. But when you get beyond the regional issues, plus these other issues, you might get to higher education. I think this is more or less the pattern in state after state after state.

If higher education isn't going to be supported, how are our libraries going to be supported?

There are also changes in the federal government's view of the world. We know about the effort on the part of the Office of Management and Budget to impose some caps on indirect cost recovery, and so many of our universities and our libraries depend upon indirect cost recovery money for support. Now this system admittedly has been abused. Some universities charge 60 to 70 percent or more in indirect cost recovery on all federal grants and contracts, but nevertheless, by putting caps on this, where are they going to find the money? To many of the people, indirect cost recovery money is their livelihood. They didn't know that the cap was going to be imposed, so our universities look for places to get the money in the nonpersonnel area, and one of those areas is, of course, library acquisitions and library support.

There is also the movement on the part of this administration to dramatically change or perhaps gut the U.S. Department of Education programs, the Higher Education Act entitlements. They are not entitlements. So that's of great concern.

There is the move towards big science. The fact that the Super Collider Project has been killed is a step away from big science, but nevertheless, there's a major impetus to support big science as opposed to little science, meaning the small research grants that so many of our departments and faculty members depend upon and which we in turn depend upon because we get the indirect cost recovery.

There's also this notion of the commercialization of some interests that we used to hold near and dear. Many of us are concerned about the fact that the control of the Internet, which had been in the National Science Foundation, has now been moved over to the Department of Commerce as part of the Clinton/Gore NII–National Information Infrastructure Program. There are many changes at the federal level that have direct impact on us, on our universities and our libraries.

Another one is the fact that unfortunately, so many of our universities, in the scramble for funds, are beginning to increasingly skirt peer review. In the old days, you would apply for a federal grant and your peers would review it. Whether you got the grant or not would depend on peer review. Now so many of us, my institution included, are trying to skirt the peer review system and get money directly from the U.S. Department of Agriculture, from the U.S. Department of Energy, et cetera, without any peer review. So in some cases, this concern about the putting a cap on indirect cost recovery and trying to recapture that money by skirting the peer review system is going to do ourselves in if we continue to play this game.

Several of the meetings that I attended spoke about the way our library acquisitions budgets are being eroded. I want to say that this information came from Kendon Stubbs, but I don't know that it did, so I can't give him credit or blame for that, but this is based on ARL data. Every year the ARL collects data on library expenditures as a percentage of university-wide expenditures, and you can see that we're again in a dramatic downward trajectory. I think the average now is around less than three percent of the university's total operating budget. In the 1970's, that percentage was closer to five percent, so we're in a downward trajectory in terms of capturing our share of the university's operating budgets.

As these trends have continued, there

has been a conversation going on at our university about what it means. If we put all this together and thought about it, what does it mean?

There's a group of administrators beginning to think about possible futures for the University of Minnesota, and one view which has not been rejected out of hand says that by the year 2025, there will probably be only 20 major comprehensive research universities left in the United States — 20. I don't know what that means for ARL membership, but what do administrations have to do? Got to raise the dues! Twenty — how could this happen? How could this happen? Mainly because our states are not as supportive as they used to be.

There is a real push towards teaching and away from research. There has never been a proper balance, but now, as universities try to remedy that and place more emphasis on teaching, the emphasis on research is going to go down. Even if the taxpayers were willing to give the money, some states, including mine, don't have the taxing capacity to support a major research university. One of these groups did a little study of Minnesota, Wisconsin, and Iowa, and it said that those three states are fairly similar. They have roughly the same population — four, five million or so. They have the same kind of industry, same kind of economies, not heavy industry at all; agricultural, farming, ranching, dairy, some clean industry, including high tech.

How are those states going to be able to maintain five-star universities, the Iowas, the Iowa States and the Wisconsin at Madison and the Minnesota at Twin Cities? One view says that the only way that's going to happen is for those four universities to merge. Now this doesn't mean a physical merger. This is one of these virtual mergers, these strategic alliances where the student's degree might well be from the four universities, one degree where you would be taking classes at the four universities. You wouldn't be traveling to those four universities. You would be taking classes electronically through interactive TV and so on. That's one view of the world. It's not being dismissed out of hand. It is being given some serious thought, and so it's a period of great concern. I think that whatever kinds of theories or concepts or tool box that we can latch on to, whether it's TQM or reengineering or restructuring or whatever it happens to be, it's in our interest to do so, to capitalize on those techniques as best we can. These are some other changes, and I'm sure these have appeared on your campus in a greater or lesser degree.

I mentioned already, the downward trend in library support, competition for resources. I have mentioned the erosion of acquisition and operating budgets. So in this conference, several of us have been talking about the last time anybody had a pay raise. That's just one indication of erosion of operating budgets.

There is so much internal and campus competition for resources. We're not just competing against other providers of higher education in our states. We're competing on our own campuses for resources. That has been an interesting change, and you wonder in such a competitive environment, how can teamwork survive? How can teamwork thrive? How can we get the best efforts when there is such competition?

A dear, old colleague and friend of mine, who was Dean of Agriculture, was fond of saying, "When the trough gets empty, the horses start biting each other." That's happening on our campuses. The trough is empty, and we're starting to bite each other internally.

We all know in great detail about the blurring of computing center and library lines. We're involved in so many relationships that just a few years ago we wouldn't even have thought about it, but now there is such an interaction there that it's helping both of us. It's helping the library. It's helping the computer center. Increasingly I think the computer center people are beginning to realize that working with pipes and wires and hardware isn't much fun. They want what we have. We have the content, the stuff that can go over the pipes and the wires and so on, and they're beginning to appreciate how much they need us, so that's an interesting development. Of course, in some of our libraries, there's a single head of both campus computing and the libraries, and many cases, that person is a librarian.

All of these trends are tending to decenter the library. My predecessor at the University of Minnesota, who was a professor of history, liked this word. He used this word in a speech that he gave in his final speech as Interim Director at the library. He spoke about the dangers on our campus of the library being decentered amid all this other turbulence that's going on on campus. We used to cringe when academics used to get up at library conferences and speak of the library as the heart of the university. Even though it's a cliché, it's a reassuring cliché, and it's one you don't hear anymore. I want to bring it back. Let's bring that cliché back — at least the brains of the university.

I'm sure many of you read the book by George Keller on academic strategy or academic planning. When the pressures are in charge, the present gets the attention, not the future. Fighting brush fires and improvization take precedence over planning. Defense is the game, not offense, and this is what we're trying to work out. The pressures are there. The brush fires are there. The crisis is there virtually every day.

There's a line in an article written two years ago by McInally and Downs who went around the country interviewing ARL library directors. There's a quote in there that I will never forget. One of the quotes was in the director's office, "It's high noon every day." Sometimes they are conflagrations, not brush fires, but it's very hard to be focused on the future in that kind of environment.

Well, how do we deal with these things? How do we try to reinvent ourselves? Several of the meetings that I attended asked this question. What business are we in? John Secor, in his talk, spoke about this concept, and the group from the Illinois Institute of Technology focused on this notion as well. In several of the other sessions, there's a lot of discussion in this conference on mission. What's the mission of the library? What business are we in?

As I have read the management literature, and I keep reading it, some of it, as you know, is just awful. You can't get through it. Some of it is so superficial that you wonder why you read it or you even wonder why it was ever published. Anyway, as I have done some reading on this, one of these outfits, McKinsey and Coy, the outfit I think that Tom Peters used to work for before he became bigger than McKinsey and Company, he was studying some of the most successful companies, and on the question "What business are these companies in." He asked Sony this question. What business is Sony in?

Well, I tried to answer it before I read the answer. I thought, Sony is in the electronics business. Wrong. Sony is in the pocketable electronics business. Sony's core competence is miniaturization. That's Sony.

Then he asked, "What business is the Yamaha Piano Company in?" I thought to myself, they are in the piano business. You don't have to be a rocket scientist to figure that out, but wrong. Yamaha is not in the piano business. Yamaha is in the keyboard business. Think of all the keyboards that these kids have. Kids don't own pianos, but they all run around with keyboards.

What business is Apple in? I said Apple is in the computer business. Wrong. Apple is in the business of humanizing information technology. That's Apple's business. Of course once he gave me the answer it made a lot of sense. One of the people at Apple asked that question, "Why can't computer literacy be the same as refrigerator literacy?" Why isn't it as easy to use a computer as it is to use a refrigerator? You know that certain things in the refrigerator go in the freezer compartment, and you know that other things go in the other compartment, and you know that once a year or so, you need to change the light bulb, and that's all you need to know about a refrigerator. Why can't it be that easy? Well, that's what Apple is working on, and I thought that's brilliant. That's exactly right. So I keep reading management literature for little nuggets like that.

So what business are we in? My own sense is that it's going to be easier, as we wrestle with this, it's going to be easier for smaller libraries to answer that question than for larger ones. I think larger ones are in too many businesses, and I almost have to say in sort of self-defeat that we have to be in too many businesses, but I don't know. I don't know the answer to that. Maybe you can wrestle with that, but I keep trying to think of what business are we in comparing our answer to the answer I might give to the Sonys, the Yamahas, or the Apples.

What would I say the business we're in? Believe me, it wouldn't be in a phrase or a line. I would have to go on for too many lines, and I think that's one of our problems. How can we in this day and age, with all the environmental things that we talked about a little earlier, how can we do our business, increase quality, increase customer satisfaction, serve our customers better, reduce our costs, and have less money to spend?

Well, as our first speaker, Dan Seymour, says quality is not dependent on additional resources. In my heart of hearts, I believe that. But even though I believe, it's hard to accept it. It's hard to do it. How can we have quality when they keep cutting my budget? I think that's what this meeting is all about. Give us some tools and techniques to address that very profound question.

Another interesting thing for me is how anyone can take any risks in this environment. You want to reallocate resources or staff to do something interesting or innovative or non-traditional, and immediately someone says we're going to have to cut hours, or I can't do this operation any longer. I can't do that anymore. You have to make a choice.

In other words, in this environment, how can any of us throw deep? I mean we're all making these sort of screen passes, hoping that the receiver can get through the line, but typically the screen pass isn't going anywhere. Way down the field somebody may be in the end zone waving at us, but we're not going to get the pass down there. How can any of us throw deep in this environment? Someone asked Wayne Gretzky why is he such a successful hockey player. He says he tries to skate to where he think the puck will be. Get that. I try to skate to where I think the puck will be.

How can any of us try to get our libraries to where we think they should be or where we think our universities are going or where we think higher education is going? Or to phrase the question another way, how can our large monolithic research libraries become nimble? I love that word because it's such a contrast, a contradiction almost in some of our large universities. Nimbleness is the opposite of everything that's there. Dick Doughtery once said that ARL libraries are like supertankers. He said the captain gives the signal to turn the ship 20 degrees to port, but because of inertia it's ten miles later that the ship begins to turn. It doesn't turn. It just begins to turn ten miles downstream. Maybe the problem with that story is that it's the captain who is giving the order. We should have a team giving the order.

Another question would be, "How can we, using what we have learned today or at this conference, how can we create those new mental models on what we're all about?"

In the conference many people have quoted the Sange book, *The Fifth Discipline,* and in there he talks about the need for management and how everybody in the organization to be thinking about new mental models. We haven't had a new mental model about libraries since.

Another question is, "How do we get our staffs to take a system-wide view?" In the poster session, the one from Wayne State, they were trying to get staff to understand what was happening at Wayne State University, so they proposed that every staff member had to visit every other library or unit at Wayne State libraries at least once a year. You could say, "Well, once a year isn't enough." But we don't have any sense of ourselves in our large university libraries, so I thought that was an interesting concept and a definite step in the right direction. The system-wide view that it isn't just my unit, my special collections, my archives that's so important, but it's my unit's role and contribution to the rest of the library system as it's a holistic view rather than this sort of self-centered, very focused kind of view.

Well, we're getting more and more as we go on to talk about essentially why we're here, and all of these ideas were talked about at great length in the sessions.

Mary Douglas, a writer on organizational change, once said that there are four decisive arguments against any change. The first is there is no time. The second is it's unnatural. The third is God forbids it. And the fourth is there is no money. The fact is we know we have to change, and you all believe we have to change. Otherwise you wouldn't be here. I think somebody said the difference between change and transformation is that change is evolutionary and transformation is revolutionary. But among the strategies that were talked about these days was reengineering. The advocates of that approach you read about are Michael Hammer, and in the higher education field and William Massey. Hammer has written a lot about reengineering our campuses, but reengineering is essentially focused on getting better.

How can we make our organizations better? As Hammer says, the focus is on getting rid of work rather than people. I think that's important — getting rid of work rather than people. Even though Hammer applauds people like Jack Welch from General Electric, who got his nickname Neutron Jack because he destroyed virtually half the employees but left the company standing, Hammer is focused on not getting rid of people, but getting rid of work.

McKinsey is the big advocate for restructuring. Restructuring is focused more on getting smaller, or downsizing, or as they like to say, rightsizing, and there they are really getting rid of people. They are really getting rid of them, and IBM is the classic case of restructuring.

All of these approaches involve teams, although the restructuring is more of a management thing, top down, and there are two theories that it's the top management and the middle management that gets rid of the non-management people, the employees. There is another theory that says that in restructuring, it's middle management that's most at risk.

Teams are an essential component in all these strategies. The concept of teams has just pervaded this discussion today, which I think is so healthy because it really suggests that our thinking is getting far beyond this sort of hierarchical model that we have been stuck with for so long.

Then we come to TQM. By the way, one of the sessions focused on both TQM and reengineering, the one at UIC–University of Illinois at Chicago, where they used both strategies, TQM and reengineering, in their work. One of the workshops made the interesting observation that when you get right down to its basic, TQM is really nothing more than good, total common sense. All we're talking about is things we should be doing anyway, even if TQM were never invented. It's just so sensible and rational.

Some have used TQM in some of the sessions to not only become more customer focused, to make our processes more efficient and effective, but also to do some organizational realignment. That's something that we're considering at Minnesota, so I was sure to go to as many sessions on that as I could. The folks at Duke, Indiana, Stanford, Penn State, and Arizona have all used TQM for realigning or restructuring the organization.

What did I pick up as the essentials of TQM? Several presenters made the point that TQM really is not a recipe. It's a way of operating, a way of doing business that has to be adapted to your situation. A cookie-cutter approach isn't going to work, so you have to adapt it, modify it as you apply it to your organization.

Well, the message that I got that came loud and clear was the focus of the customer, which I think is so heartening. Several of you pointed out that our customers are both internal and external, and the point was made that while the libraries are a customer of venders, why shouldn't we form a partnership with our vendors to make our operations, our processes more efficient? I think it was Texas A&M who spoke about building strategic alliances with venders to improve internal processes.

Bill Gunstrom really pushed the customer. Sue Rohan gave us that interesting model of customer satisfaction and fulfillment. There is this one-dimensional model, but oftentimes customer satisfaction is much more complex than that, and then there were some very good ideas for capturing customer data from the folks at Penn State where they use surveys and focus groups. At Kent State they were going to eliminate their document delivery service on campus because of a budget cut, and they went out and talked with the customers. This service got such rave reviews that they thought they couldn't cut it. Talking to the customer prevented them from making a major mistake.

Then Mr. Toney went on to say that in all the elements in TQM, focus on the customer is the most important. He said, "Don't bother me with anything else. That's the most important criteria." When thinking about that, I thought of what Herb White used to say at every conference he went to. He always gave different talks, but there was one nugget he gave in every talk, no matter what he was talking about. He said, "We have taught our users to play by our rules." We have taught them to play by our rules, so if those people are our customers and they have been conditioned by our rules, we have to look beyond what the customer is saying. Maybe their expectations are far too low because they have been so conditioned by us.

You have to know that the patron saint of this conference is W. Edward Deming. His name was mentioned in every session I was in. You have to know that Dr. Deming said this, "No customer ever asked for the electric light, the pneumatic tire, the VCR, or the CD. All customer expectations are only what you and your competitors have led him to expect." That is essentially saying what Herb White has been saying for a long time.

We have to remember the real trouble is if we don't keep in mind the distinction between a prospect and a customer. We'll all remember that, right?

The other element that I heard in visiting with you was this notion of attention to processes. That we should reduce variation to the extent that we can, and several of you made the point that all process in our organization should add value. But one speaker said that 30 to 40 percent of the work in our organizations is either waste or rework. If processes are supposed to add value, clearly 30 to 40 percent of this number is not adding any kind of value, but in fact they are subtracting from the value of our organizations.

Then Dan Seymour in his remarks said that we spend more and more time on things that are not important to our customers, and I think there is a real nugget of truth there.

Of course several of you quoted Deming who said that 85 percent of an organization's problems or failures is related to its processes, and only 15 percent is people related, so organizational failure is rooted in processes, not people.

The top management is another critical element in TQM. Don Riggs spoke very eloquently about that, but many of you have emphasized it, that it consists of the commitment of top management to empower staff.

You're saying to the staff, "If you're doing this right, you have the power to revise this process, to make some substantive changes, and we want you to take some risks. We're not looking over your shoulders at this." It can be an unsettling experience for control freaks to let the staff go wild a little bit, but I like the thing that Richard Petty has said to some interviewer before he crashed. He said, "If you feel that you're in control, you're going too slow."

So commitment from the top, and I think what the top management has to do in these cases, and Don spoke to this, too, is to present some kind of vision. Not that any of us have a sense of what the future holds or the knowledge of what's going to happen on my campus in the year 2025. That's too far out, too far fetched, but we need to present them with some kind of vision that attracts their attention and attracts their commitment, and we all know that nobody walks away from past practice without at least some vision of the future. It's our job as managers to give them some notion of what they are walking away from, what we're asking them to leave, but they also want to know what they should be walking towards.

Allen Kay, an executive at Apple, said looking back over recent developments in the information technology industry, the future really was predictable, though very few of us predicted it. The future was predictable, but very few of us predicted it.

In this commitment from top management to empower staff, it really suggests that the top management is genuinely involved in all of this. We're not just doing cheerleading. We're not giving a lip service.

I'm going to do it because the University of Wisconsin is doing it and I've got to keep up with Wisconsin — not lip service. It's not MBC — management by cliché. Jim Neal coined that one at Indiana. It's really an involvement of top management, that top management is really committed to this process of TQM, this process of reinventing and reenergizing our libraries.

One of the concepts that only came out once, was the notion of ethics, ethical behavior, a kind of moral vision here. We have got to play straight and fair with our staff when we ask them to go off in terra cognita. We want to play straight and fair with them and be ethical individuals, have an ethical, moral organization to the extent that we can. It's something that we don't think enough about, and I think increasingly it's more and more important in this day and age.

Certainly for those of us who are in higher education, this should be part of our duty to be thinking about ethics and morality because when we think about who our customers are, it's these young people out there that we're trying to serve. We have these obligations, these ethical responsibilities to our staff, but I didn't hear enough of that, and that bothered me a little bit. Employee involvement via teams is another essential ingredient here. As we said before, the team concept permeated this whole meeting.

You have got to make very extensive use of teams particularly cross-functional teams. Many of you suggested that you should have team facilitators, but they are not always necessary, but certainly a facilitator helps the process a great deal. There was lots of discussion as to how you select teams. Do you let the people select themselves? Do you put people in the team? How do you do that? Who designates the team leader? You let the team pick the leader? Do you pick the leader? Lots of good discussion about that.

At Penn State, the notion of when the teams were appointed, they had the notion of a social contract among the team members, and I thought that was a very interesting concept that I'm sure reflected the ground rules and modus of operating that team, sort of a social contract concept. Arizona is the one that did the SLRP team, the Strategic Long-Range Planning Team, and then Duke gave a very nice presentation on setting up teams.

In the handout you will see a nice concise statement of what helped set up the teams, what hindered the work of the teams, and what are those things that could help get a team started very, very quickly. There is a checklist of how to get teams off the ground very, very rapidly and on the section that Stubbing prepared for the manual.

When these teams get rolling, I love the idea that there is a comment that Yogi Berra once made not about teams. He said when people don't want to do what you think they should do, you can't stop them, so I think that's a good guideline for our teams.

Benchmarking, and measurement, boy, did we hear about benchmarking at this meeting. We all know that we have one major lack. We lack these measures. We lack output or impact measures. We lack measures of customer satisfaction. We, as one of our speakers said, we don't have any dip-sticks. I'm talking about measures, not staff.

We heard reports of the Council of Library Resources/Office of Management Services, interlibrary loan benchmarking study which I thought was very, very interesting. I hope that we have another meeting that we'll hear about Phase 2. Hopefully there will be a Phase 2 of that study. There were three libraries selected and you kept saying you wish there were more. I wish there were more participating in that kind of study. We heard about that. We heard about Mandato State University in Minnesota, about what they're doing with benchmarking. Penn State is doing a lot about benchmarking. Duke is doing benchmarking, and I'm sure there are others that are doing it that I didn't hear about, but benchmarking I think permeated every session that I went to.

I think it's important to make a distinction between measuring and counting. You can't count everything, but I think it is possible to measure it. You can't count everything, but you can measure, and one administrative axiom has been "If it can't be measured, it doesn't count," so keep that play on words. If it can't be measured, it doesn't count, but yet measuring is not the same as counting, but clearly in this field, we need to develop process and output measures.

We have wonderful input measures when you think about it. ARL is a master at collecting input measures, resource measures. We collect all these resource-based measures, but we don't have the output measures. So, a lot of work needs to be done in benchmarking.

We're also good at quantitative measures, which goes back to my comment about ARL statistics, but we don't have those qualitative customer focus measures nearly enough. I keep thinking, "Why should we be reinventing the wheel on how to do a good user survey or good focus group?" Somehow we should find the person who has done it right and copy, with proper credit for who did it. Why do we have to reinvent the wheel again when it comes to survey research? Data gathering instruments, clearly we need these qualitative customer focus measures that are equal to the quantitative measures that we already have.

You can ask yourself the question about our field, "Who are the drivers in our field? Who are the drivers, the leading libraries? Who are the passengers, those of us who are going along for the ride, and then which of us are the road killers?"

The next one I'm going to talk about is commitment to continuous improvement in quality, and there I think we're not looking for quick fixes. We're looking for longer-term solutions. Of course we have to bear in mind that continuous improvement, yes, but continuous improvement of what?

We don't want to improve a process that shouldn't be there — a process that we shouldn't be doing, a process that is meaningless in this day and age. Why improve it? Dr. Deming used the example that continuous commitment to quality does not mean perfecting carburetors in the age of fuel injected engines. We should be switching our cars to make fuel injected engines, not carburetors, so there is no point in perfecting, making carburetors unless you're in the lawn mower business.

We heard so much about staff training from speakers at the University of Illinois at Chicago where they used videos in their training. All of the folks talked about how you cannot have teams unless you have done some training of the teams. At Duke, they're talking about increasing their training budget by a hundred thousand dollars.

All of us who are management like to say that our employees are our most important asset, not our collections, but our people. How can that really be if we invest so little in their training and development? So I think we'll see change there, and maybe when the *Chronicle* publishes the ARL list of libraries by rank and we get ranked according to these quantitative data, maybe those of us who invest more in training will somehow find a way to get up there. We'll ask Susan to give us extra weight or something.

Patience and persistence, again, this goes back to several writers have said that in TQM, you have to be in it for the long haul. Ellen Chaisey, who was at North Dakota State University, wrote a lot on TQM. She said that in their effort the timeframe was five years. She didn't expect anything for five years, so you had to have that kind of perspective to see real results. I don't know whether that's true or not, but I think the message is true that you can't pull the plug on TQM if you don't see results next year. You have got to be in it for a longer timeframe.

Several of the speakers remarked on the fact that on their campus they are the only ones doing TQM. If you had to find another department that was doing it, it was the physical plant department. Academic departments don't do TQM on many of our campuses. That's the credo of some of the campuses, so we need to tell ourselves that we're doing the right thing. In those cases where we're doing TQM in our libraries and no other academic unit is doing it, I think this will prove that once again, libraries are ahead of the pack on our campuses. Libraries have done strategic planning on campuses long before campuses ever got involved in it, and there are so many other examples like where libraries have truly been impacted. So persistence is so, so important.

Another important one is the need for greater tolerance for ambiguity. You have got all these teams out there working. There's going to be ambiguous relationships between the teams, what the teams are doing and the line people in the organizations. These teams are suggesting things about line processes and the line people are saying, "How do these teams tell us anything about our job, you know, there's only two of us on the team and there are six of those people on the team." You have to have this tolerance for some ambiguity. Some disequilibrium is going to occur, even chaos.

Maybe that can be good if you listen to Peters, and chaos is not all that bad. We know we're going to make mistakes as we try to redefine and reinvent our libraries, but we should ask ourselves a question when we're feeling sort of low, "What's this balance in ourselves and in our staffs between the hope for the future and this sort of anxiety that we all have caused by those environmental factors that we talked about earlier?"

It seems to me that to the extent possible, we should be trying to load more fuel on to the hope side of the equation and less on the anxiety. We have to give a vision to our staffs that there is hope, that libraries are going to be around in the year 2094. We are, aren't we? Yeah. Good.

The other question that came up sort of gets into this tolerance for ambiguity is this notion of assessment. If everybody is a member of a team, how do we assess their work? We're so used to assessing individual performance, and on many of our campuses, that's a reflection of the so-called star system that exists on the faculty. The faculty stars get the big raises, and those who are burnt out stars or black holes don't get such good raises, so I think that this is a very interesting and healthy debate that's going on as to how do we balance individual performance assessment with team assessment.

One of Dr. Deming's 14 points is you don't assess individual performance. It's one of the worse things you can do in an organization. What you do is assess the work of the team. But in many of our campuses, that's really a C change, a major cultural change.

One approach that's being talked about is the 360 degree performance appraisals where you give the individual a questionnaire, and they send the questionnaire out to their customers, their suppliers, their mentors, various people. That's why it's 360 degrees. The responses come back to them, not to me or to their supervisor, but the responses come back, and this is a way for them to check on their own performance without the supervisor playing the "gotcha" game.

Well, it was interesting for me to hear that, at this session, so many of the speakers representing campuses are experimenting with this. Centinary College is doing it. The University of the West Indies and Duke are doing it. I'm sure others are, but those are some of the ones that I picked up that are trying to deal with this business of assessing teams versus individual performance.

Well, what have we got today, or from these couple of days here? I think as I reflected on this a little bit, we really got a wonderful set of concepts on one hand about TQM, how to do it, how to help our organization, but we also have a sense that we're not in this alone. There are all you folks who are out there doing this, or if you're not doing it, you're about to do it, and I think there's this wonderful feeling of community and support. Those of us who are getting wet in this pool of TQM are maybe among the leaders in the field. I think that it's interesting that all of the ARL libraries are represented here except three, and for those monoliths that we're involved with to be interested in this is a very healthy sign. Then there are so many smaller campuses, and actually, I'm told that the real activity in TQM is occurring more at the community college level than anywhere else, so we're not in this alone.

There is this group of support partners and many other libraries around the country, they are into this, so I think it's a wonderful opportunity for us to involve our staff in these issues, to challenge orthodoxies and dogmas that we have lived with so long. The opportunity for us to become better organizations has been talked about at this meeting, but at the same time, we also have to become unlearning organizations, don't you think? We have to unlearn some of the things that we have always done. We have to learn to forget and move on to the next plateau.

We need to think about what are our poor competencies. We have talked about what Sony is good at, what Apple is good at, and what Yamaha is good at. What are we good at? We need to think about that, and again, I wish I had the answers to these questions that I'm asking. I really don't. What should we tell these wonderful people up here other than giving them our thanks and congratulations on a great conference? What should we tell them about what to do next? So let me stop there and ask you folks to talk to the customer and these are the suppliers, so let's tell our suppliers here what they should do next.

MR. BINDER: Mike Binder, Western Kentucky University. It seems to me that this has just been a fantastic conference as Tom articulated. Because it's so much an emerging field, and I think that was clear in the title, what our suppliers need to do is certainly have a second conference soon, hopefully next year.

MR. SHAUGHNESSY: Other comments for Brigid and Susan?

MR. MERIKANGAS: Bob Merikangas, University of Maryland, College Park. One thing I saw coming up as a problem or issue is the relation to budget. In other words, budget is not only a problem, but the implication is changing allocations. I don't hear any evidence of people actually moving to changing allocations.

MR. SHAUGHNESSY: Some of the session did talk about that. When the TQM process, reaches some level of fulfillment, the relationship between planning and budget will be a one-to-one relationship, the planning being a result of TQM, and there will be this connection between plans and budgets. So I thank you for pointing that out, but I heard that and forgot to mention it. Maybe you're suggesting that we focus more on that?

MR. MERIKANGAS: I would like to hear the experience of doing that.

MR. MCGRATH: I don't know whether I'm the only library school faculty member here. Is there anyone else from a library school, School of Library Science?

MR. SHAUGHNESSY: X.

MR. MCGRATH: Well, that's good. You can take that however you want, but I would hope that at the second international conference, there would be some interface with the libraries. I don't know how many faculty at some of the other library schools are teaching any TQM.

MR. SHAUGHNESSY: That's a wonderful idea.

MR. MCGRATH: I hope to be present at the second international conference. I found that this has been an extraordinarily informative conference. It's exciting. It has been a great enlightenment for me, and I hope to be involved in it in the future.

MR. SHAUGHNESSY: Hiram?

MR. DAVIS: I don't know if this relates to what ought to be done next as far as the conference goes, but I think it would be particularly useful for a lot of our colleagues, if there might even be a newsletter that is focusing on TQM.

We talk about a lot of best practices, and yet we don't share the information. We're all out there reinventing the wheel. I know we all don't get the ARL newsletter, but either email or something, but begin to identify those best practices, and I mean at least share the information so that the people can network and get in touch.

MS. WELCH: I think Barton Lessin wants to put in a word for a way to do that.

MR. DAVIS: I wasn't for that!

MS. WELCH: Bart, you had your hand up.

MR. LESSIN: Thank you. I'll speak from the back. I hope you can hear me.

We do have a way of communicating easily through the Internet currently, best practices, and other applications of TQM in our library, or quality enhancement activities in our libraries if you prefer, and that's TQM Live, which is on the listserv.

Some of you in the room are already participants on the list. Those of you who are not already and would like to be, if you leave a business card with me that has your Internet address on it, I'll be happy to add you to that list. Now the other part of that is more challenging. I can get you on, but the interaction between all of us requires your participation, of course. Otherwise the list just hangs out there in never-never Land, and nothing much happens with it, so I encourage you to use the TQM Live list to your best advantage.

MR. SHAUGHNESSY: Good.

MR. WILDER: I'm Stanley Wilder from LSU in Baton Rouge. I wish I knew more about the interaction between ARL and Arizona in the course of their restructuring, but one of the things that appeals to me is that Arizona had ARL to go to as a resource. And one of the things that concerns me about my own campus is that we just don't have the expertise, and consulting expertise is very expensive. I wonder if there is, if I just throw this out, I wonder if there is a way that ARL could provide the same kind of services to other institutions?

MS. JUROW: Thank you for inviting an unpaid advertisement for OMS services. The Association of Research Libraries, Office of Management Services does provide both training and consulting support for TQM, and we started to do some work with the people at Texas A&M around TQM. Obviously we're also working with Arizona and currently are working with Irvine in the kind of organizational redesign processes that we have been talking about. We also do continuous improvement workshops that are offered publicly. The brochures are on the table in the back, but we are available to do that kind of work for the ARL libraries and for others to the degree that we have the staff available to do that. Thanks, Dan.

MS. COEHLO: I would be interested in some form where we could look at pitfalls we have built and fallen into. I think we look a lot at best practices, and then we go home and we fall into our own pitfalls. We don't tell each other what we did bad and how we got out of it.

MR. SHAUGHNESSY: It's much easier to say how we run our library well than it is to say what didn't work, but I think we're getting over that shyness or reluctance or whatever because we all make mistakes.

MS. COELHO: I think it would be sort of an acid test of our willingness to take our risks. Are we safe? Is this TQM safe for us?

MR. SHAUGHNESSY: Exactly.

AUDIENCE: Is there any way to get libraries involved in this to share their benchmarking?

MR. CROWE: I'm Bill Crowe from the University of Kansas and Chairman of the ARL Committee on Statistics and Measurement, and I'm having one of our second encounters this afternoon to talk more about how we can provide some data sets partly in self-defense, but partly for reasons that you hear at this meeting. Others are trying to do it for us.

We need to provide some help, some place where folks can go and say, "Give me some data sets and give me some examples of institutions that look like me or my institution to go to."

We're getting there. It won't be easy.

MS. JUROW: We're hoping to be able to provide the same kind of service around benchmarking with the other, the same kind of statistics over the long term.

MR. SHAUGHNESSY: Correct.

MS. JUROW: I like to take this opportunity to thank Tom for putting this together.

I have some announcements and a lot of thank yous to do here to close this session.

Very briefly, for those of you who are attending the Saturday post-conferences, "Transforming the Culture, Creating a Learning Organization," will be in Ashlawn South, and it will run from 9:00 to 4:30 tomorrow.

For those of you attending the benchmarking post-conference, it will be in Ashlawn North, and it will be from 9:00 until 12:00.

This conference was very much a team effort, and I would like to start by thanking Brigid Welch, who is up here on the podium. Brigid was the main point person in planning, organizing, and getting everything together: programs printed, people talked to, letters out, all of that kind of thing.

I would like to thank the Advisory Committee. You will find them listed on the front of the conference outline, who provided us with a lot of input in putting this together — who, what kinds of sessions, when to have them, all of those kinds of things.

I would very much like to again thank Barton Lessin and staff at Wayne State for providing the impetus for this and helping again with the planning and putting the whole thing together.

And I would also like to give a hand to Mary Jane Brooks, who is our meeting coordinator and makes all of this look so smooth and easy, so if you would join me in thanking her.

I guess more than anything else, I would like to thank the presenters and all of you for coming, for sharing your experiences, for being willing, as Joe pointed out, to not only talk about how we have done it well, but what is not working, how we're working on it, where we think we may be going with things. This really is the beginning of all of this, and we're going to do a lot of stumbling.

A lot of wonderful things are going to happen, and we have heard about some of those instant successes that are coming from the low hanging fruit that Bill Gunstrom was talking about, but also from the real hard effort of trying new things. I think though that coming together and talking about it has given us all a sense that there are things happening here, and more is going to happen in the future.

We're planning to have another conference, probably in two years because I think what we want to do is to allow more people to get involved, but also for the processes that are more recently begun to get further along so we can see a little bit further into the future how this is going to work.

So I want to thank you all for coming and sharing your experiences with us, and we'll look forward to seeing you again at the next one. Thank you very much.

ASSOCIATION OF RESEARCH LIBRARIES
OFFICE OF MANAGEMENT SERVICES

APPENDIX

THE COST OF QUALITY - ITS APPLICATION TO LIBRARIES

Brinley Franklin

I. Introduction

II. Definition of the Cost of Quality

III. Brief Historical Review of the Cost of Quality

IV. Its Application to Libraries

V. Understanding the Cost of Quality

VI. Conclusion

The Cost of Quality

Its Application to Libraries

Brinley Franklin

Introduction

- Costs do not necessarily "take care of themselves" in a TQM program
- Is quality "free?"
- It is not *quality*, but *poor quality* that is expensive to an organization

Outline of the Presentation

- Definition of the Cost of Quality
- Brief Historical Review of the Cost of Quality
- Its Application to Libraries
- Understanding the Cost of Quality

Definitions

Cost of quality = appraisal costs + prevention costs + cost of internal failures + cost of external failures

Cost of quality = the difference betwee the actual cost of a product or service and what the cost would be if everyone performed 100% to standard (Hagan)

Cost of poor quality = the sum of all costs that would disappear if there were no quality problems (Juran)

Cost of Poor Quality

Tom Peters, in Thriving on Chaos, observes that:

- **Poor quality cost consumes 25% of all labor and assets in manufacturing firms.**

- **In a service industry, poor quality costs can run as high as 40% of labor and asset costs**

A Brief History

1951 - Juran's Quality Control Handbook

1957 - Masser identifies prevention, appraisal, and failure components

1961 - Crosby introduces the concept of "zero defects" at ITT

1967 to 1980 - American Society for Quality Control's Quality Cost Technical Committee publishes three publications

1987 to 1991 - National Association of Accountants sponsors two studies

187

186

Service Industry Experience

Xerox's U.S. Marketing Group defined:

- **Product = 100 % user satisfaction**
- **Prevention costs = training & communications costs**
- **Appraisal costs = costs of assuring customer satisfaction**
- **Failure costs = unnecessary expenses associated with the failure to meet users requirements**

Success Factors

- Establish the quality cost program outside the operating budget process
- Use rough estimates rather than elaborate management accounting procedures
- Communicate that the quality cost program is not intended to judge individual performance or eliminate jobs

Library Prevention Costs

- **These costs are incurred *before* services are provided to protect against errors**
- **Examples include: staff training costs;**

  processing newly acquired materials on a timely basis;

  effective communications channels between collection development staff and library users

Library Appraisal Costs

- These represent the costs of *evaluating* user satisfaction and the effects of preventive activities in reducing non-conformance costs
- Examples include: assessment costs associated with user satisfaction from public services activities;

  assessment of collection usage to determine user satisfaction with collection development activities

Library Internal Failure Costs

- **Costs associated with defects that occur in the *process* of delivering services to users**
- **Examples include: Not reshelving materials on a timely basis and not shelving materials in the proper location so that users can locate the materials they are looking for;**

  Idle staff time at service desks

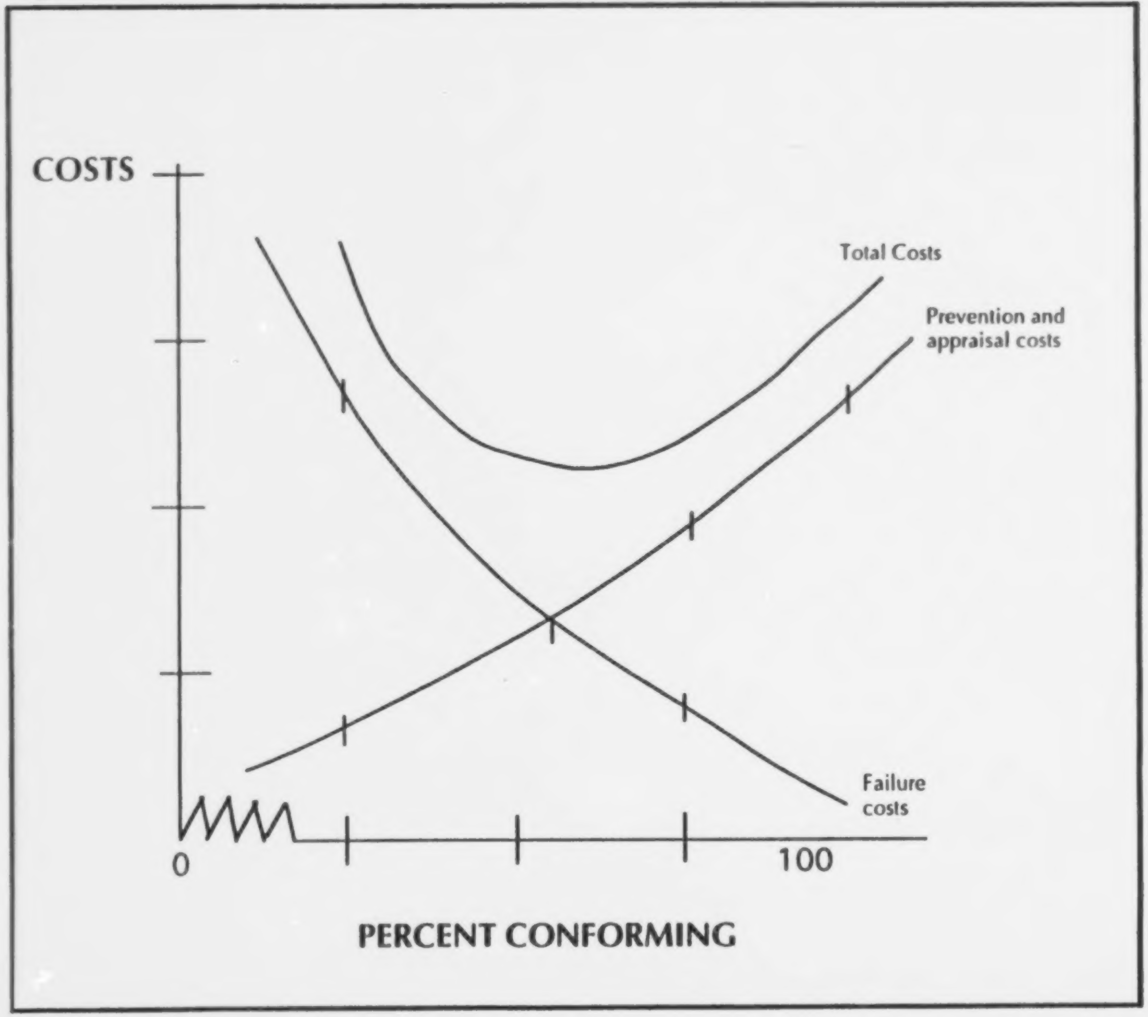
Library External Failure Costs

- These are typically identified *after* defective services have been delivered
- Examples include: failing to offer services that are desired by users;

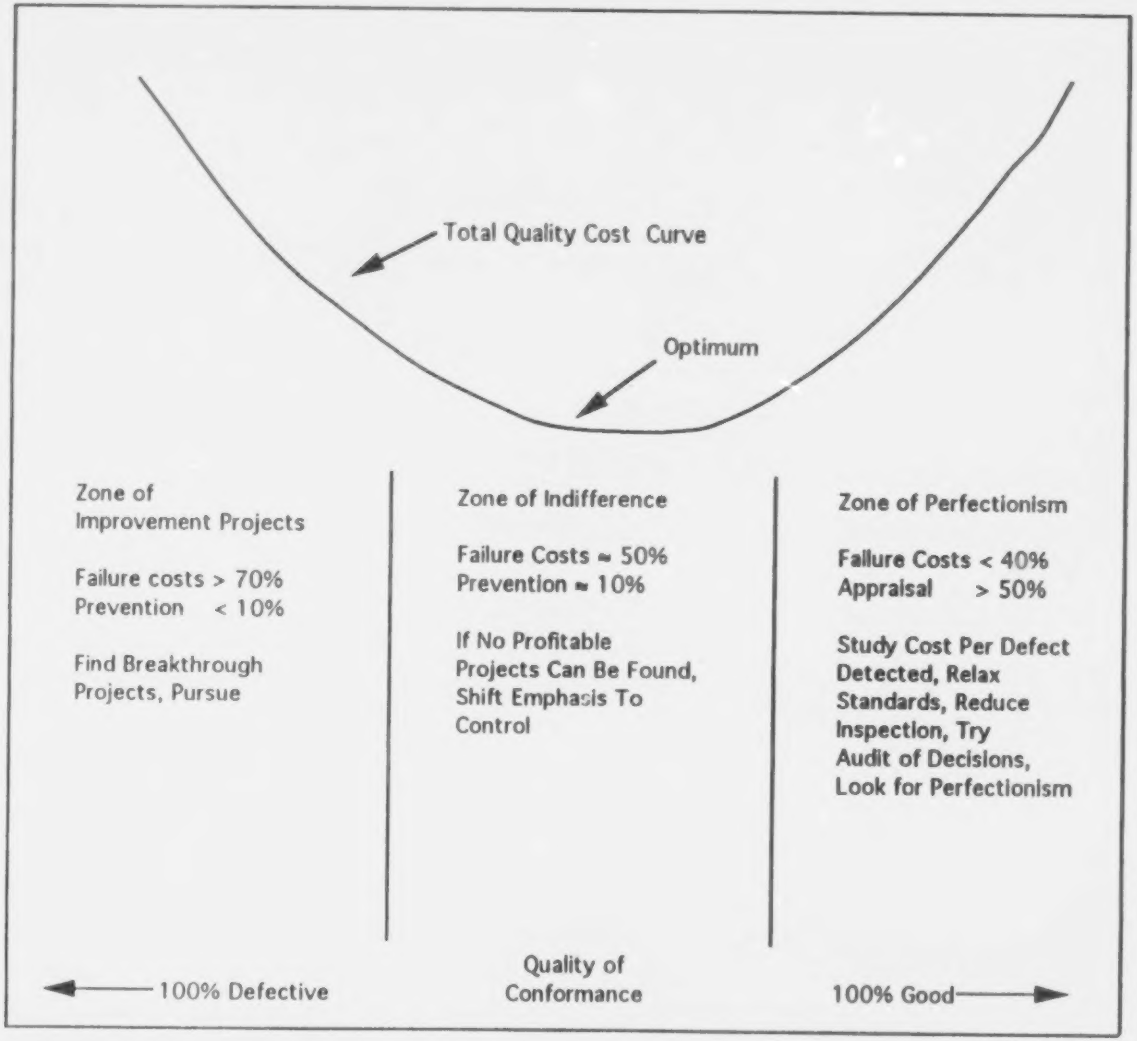
  providing underutilized services;

  not eliminating, promoting, or providing more cost-effective access to underutilized collections

Relationship Between Quality of Conformance and Quality Costs



Lundvall's Three Zones


Total Quality Cost Curve
Optimum
100% Defective
Quality of Conformance
100% Good

Zone of Improvement Projects

Failure costs > 70%
Prevention < 10%

Find Breakthrough Projects, Pursue

Zone of Indifference

Failure Costs ≈ 50%
Prevention ≈ 10%

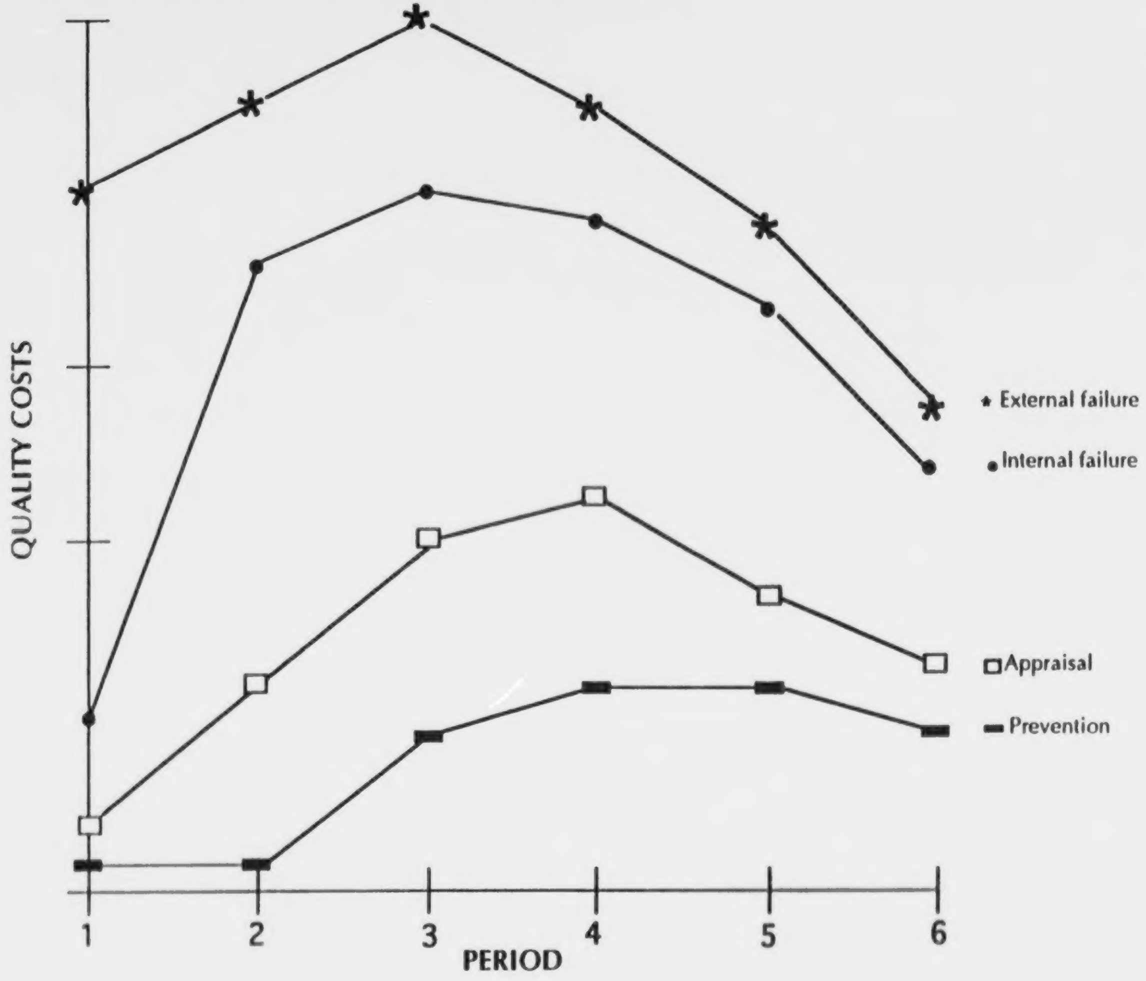
If No Profitable Projects Can Be Found, Shift Emphasis To Control

Zone of Perfectionism

Failure Costs < 40%
Appraisal > 50%

Study Cost Per Defect Detected, Relax Standards, Reduce Inspection, Try Audit of Decisions, Look for Perfectionism

Quality Costs as a Quality Improvement Program is Introduced



Conclusion

Cost of quality = appraisal costs + prevention costs + cost of internal failures + cost of external failures

Library staffs should be challenged to improve user satisfaction without feeling threatened by the repercussions

Libraries should first look to reduce internal and external failure costs, then review appraisal costs

Eventually, technological breakthroughs can further reduce appraisal and prevention costs

TEAM FACILITATION MODEL

- AGENDA
- EXPECTATIONS
- OBJECTIVES
- GROUND RULES
- ACTION ITEMS
- ISSUE BIN
- + \ Δ

WORKERS' COMP CLAIMS PROCESS SUBCOMMITTEE MEETING

AGENDA

Wednesday, March 2, 1994
1:00 - 3:00 P.M.
3026 Tang Center

Objective: ***To continue determination of root causes of high priority problems***

Complete by: Time:		
1:15	1.	Review 2/24/94 minutes
2:15	2.	Continue cause and effect diagram
2:45	3.	Gain consensus on 2 - 3 root causes
3:00	4.	Planning ahead -- next meeting

WORKERS' COMP CLAIMS PROCESS SUBCOMMITTEE MEETING

AGENDA

Thursday, January 20, 1994
10:30 A.M. - 12:00 Noon
36 University Hall

Objective: ***To determine cause and effect relationships***

Complete by: Time:		
10:00	1.	Affirming TQM methodology.
11:00	2.	Planning presentation to large committee. Use road map presentation?
11:55	3.	Determine cause and effect relationships. Do Interrelationship Digraph
12:00	4.	Planning ahead -- next meeting.

WORKERS' COMP CLAIMS PROCESS SUBCOMMITTEE MEETING

AGENDA

Thursday, January 6, 1994
10:30 A.M. - 12:00 Noon
401 University Hall

Objective: ***To identify top priority problems***

Complete by: Time:		
11:00	1.	Review of notes and work-to-date
11:05	2.	Priorities from customers' perspectives--multivote exercises
11:45	3.	Determine cause and effect relationships--relational diagram
11:55	4.	Group consensus Are these the top priorities?
12:00	5.	Planning ahead -- next meeting

RESOURCES FOR TQM TEAM FACILITATORS

- *The TEAM Handbook: How to Use Teams to Improve Quality,* by Peter Scholtes and others. Joiner Associates. 1988.
- *Getting to Yes: Negotiating Agreement Without Giving In,* by Roger Fisher and William Ury of the Harvard Negotiation Project. Penguin Books 1983
- *Please Understand Me: Character and Temperament Types,* by David Keisey and Marilyn Bates. Prometheus Nemesis Book Company. 1984
- *The Encyclopedia of Icebreakers, Sue Forbess-Greene.* University Associates, Inc.
- *ZAPP - The Lightening of Empowerment,* Byham & Cox. Development Dimensions International Press, Pittsburgh, PA.
- *Guide to Quality Control,* Kaoru Ishikawa. Asian Productivity Organization Second Revised Edition 1986

The following companies offer catalogs of learning resources:

University Associates
8517 Production Avenue
San Diego, CA 92121-2280
619-578-5900

The Training Store
Five South Miller Road
Harrisburg, PA 17109
1-800-222-9909

First International Conference on TQM and Academic Libraries
Concurrent Session
Wednesday, April 20, 1994

Title: "Employing TQM Methodologies in ILL and Document Delivery: Customer Input in Evaluation of a Campus Document Delivery Service"

Presenter: Susan B. Barnard, Head
Periodical Information and Access Services
Kent State University Libraries
Kent, Ohio

Abstract:

Info Express, a two-year old campus document delivery service for faculty, staff and graduate assistants, was threatened by budget cutbacks at the Kent State University Libraries. Before making a decision to eliminate or reduce Info Express services, the Libraries conducted a customer survey to assess the effectiveness of the service and to learn how and why its customers use it. Customer input was then instrumental in the Libraries' decision to maintain the service and increase photocopy charges.

Outline:

1. Context

    The Kent State University Libraries
    Periodical Information and Access Services department
    Info Express
    Budget Cuts!!

2. Info Express Customer Survey

    Purposes of Survey
    Questionnaire and Methodology
    Results

3. Outcomes

    Support for Info Express
    Increase in Photocopy Charges
    Other Indications

Kent State University Libraries
Periodical Information and Access Services

REPORT ON INFO EXPRESS CUSTOMER SURVEY
Executive Summary

Info Express was initiated in Fall 1990 to deliver library materials to University faculty, staff and graduate assistants on the Kent campus. Despite a couple of setbacks in support, it has continued to operate at a minimal level through the 1992/93 academic year. In an effort to assess the effectiveness of the service, a survey of Info Express customers was conducted in Fall 1992. Highlights of the survey results are as follows:

* Survey response rate - 46% (190 out of possible 413)

* Responses from 51 departments and offices; 11 schools, colleges and administrative units

* Clear majority of respondents (66%) use the service primarily to support their research; 20% use it equally for research and teaching

* 73% of respondents "always" or "usually" consult CATALYST (Libraries' online catalog) before submitting requests

* High correlation between respondents and their remote access to CATALYST (in departments, offices or homes); top departments in both are Psychology, Nursing, Geology, English, TDCS, Sociology and Libraries / Media Services

* 75% rated overall importance of Info Express to their research, teaching or job responsibilities as "very important" or "important"

* 78% rated the overall performance of the service as "excellent" or "very good"

Info Express is a relatively low-cost service which has a high, positive impact for the Libraries' primary clientele and operates on a partial cost-recovery basis. However, in order to maintain the service at its present level, ongoing support in the form of one graduate assistant and an increase in work-study student support of about $500 are necessary. If the service continues to grow and/or if courier delivery is reinstated, additional support will be necessary. However, some of this cost can be recovered through the increased income that a revitalized service would generate.

11. Please indicate your university status:

a) Full-time faculty - rank:
    1a. Professor
    2a. Associate Professor
    3a. Assistant Professor
    4a. Instructor
    5a. Other ____________________
b) Part-time faculty
c) Administration or Staff
d) Graduate assistant/research assistant
e) Other ____________________

12. About how often are you on campus during the semester?

a) Five or more days per week
b) Three or four days per week
c) Two days per week
d) One day per week
e) Less than once a week

13. Please indicate your department/school or office:

____

14. Your name (optional):

____

Please feel free to make any additional comments about *Info Express*:

Thank you for completing this survey. Please return using enclosed label (Reference Office, 161 Library) by December 22, 1992.

Kent State University Libraries
Periodical Information and Access Services (PIAS)

INFO EXPRESS - CUSTOMER SURVEY

1. How did you learn about *Info Express*? (Circle your response.)

a) Library announcement or newsletter
b) Friend or colleague
c) Library staff member
d) Don't remember
e) Other ____________________

2. On average, how often do you use *Info Express*?

a) One or more times per week
b) Two to three times per month
c) Once a month
d) Infrequently (1 or 2 times per semester or less)
e) Have never used

3. How do you prefer to submit requests to *Info Express*?

a) Campus Mail
b) E-mail
c) Telephone answering machine (not available currently)
d) Fax
e) Other ____________________

4. Do you consult CATALYST (the Libraries' online catalog) before submitting a request to *Info Express*?

a) Always
b) Usually
c) Sometimes
d) Not usually
e) Never

5. Where do you use (or have access to) CATALYST? (Please mark all that apply.)

a) Campus (main or branch) libraries only
b) Departmental office
c) My own office
d) At home
e) Other ______________________

6. Which phrase best describes your use of *Info Express* (i.e., for research, teaching or other purposes)?

a) Mostly for research
b) Mostly for teaching
c) About the same for research and teaching
d) Administrative/job related purposes
e) Other ______________________

7. How important are the following *Info Express* features to you? (Place appropriate number in each blank.)

[1]=Very Important [2]=Important [3]=Unimportant
[4]=Very Unimportant

______a) Saves me (or my student or office staff) a trip to the Library

______b) Book retrieval, check-out and delivery

______c) Photocopy and delivery of journal articles

______d) Quick delivery (i.e., within 48 hours)

______e) Low cost

______f) Delivery of interlibrary loan items

______g) Overall importance of *Info Express* in support of my research/teaching/job responsibilities

______h) Other ______________________________

8. How satisfied are you with *Info Express* service in the following areas? (Place appropriate number in each blank.)

[1]=Very Satisfied [2]=Satisfied [3]=Unsatisfied
[4]=Very Unsatisfied [5]=No Opinion

______a) Cost of service
______b) Timeliness of delivery
______c) Responsiveness (e.g., reporting back to you on availability of items or status of request)
______d) Billing Procedures
______e) Accuracy (e.g. correct item sent)

9. Please rate the overall performance of *Info Express*:

a) Excellent
b) Very Good
c) Good
d) Fair
e) Poor

10. If it were necessary for the Libraries to increase charges for *Info Express* in order to maintain the service, what would be a reasonable charge? (Currently, there is no charge for book check-out and delivery; the charge for photocopies is $0.15 per page.) Please indicate the highest amount you would consider reasonable.

a) No charge for book; flat $3.00 fee for photocopy
b) Flat $3.00 fee for book or photocopy
c) No charge for book; flat $5.00 fee for photocopy
d) Flat $5.00 fee for book or photocopy
e) I would stop using *Info Express* if costs increased
f) Other ______________________

Kent
STATE UNIVERSITY

University Libraries
P O Box 5190 Kent, Ohio 44242-0001

December 9, 1992

Dear *Info Express* Customer:

In the context of continuing budgetary restraints, the University Libraries is conducting an assessment of Info Express, our campus document delivery service.

Info Express began in Fall 1990, delivering books and photocopies from the University Libraries' collections to Kent campus faculty, graduate assistants and staff at their departmental offices. Deliveries were made three days a week, a turnaround time of 48-hours was attempted, and materials borrowed through Interlibrary Loan (ILL) were delivered, too. In May 1992, the service was reduced to delivery by Campus Mail (instead of in-person), increasing turnaround time and making it necessary to stop delivering ILL materials.

Would you please assist us in this effort by responding to the enclosed questionnaire regarding your experience with Info Express? This should take only about ten minutes of your time and would be very valuable to us in determining the future of Info Express. Please return the survey via Campus Mail by December 22, 1992.

Thank you very much.

Sincerely,

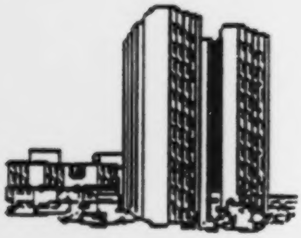
Barbara F. Schloman

Barbara F. Schloman
Head, Reference and
Information Services

Susan Barnard

Susan B. Barnard
Head, Periodical Information &
Access Services

enclosure: survey and return mailing label



Info Express

The Libraries' Document Delivery Service

Info Express, a service of the University Libraries' Periodical Information and Access Services (PIAS) department, offers retrieval and delivery of books and photocopies from the Main Library's collections to faculty, graduate/research assistants, and staff, in support of research and teaching.

First-time users of **Info Express** must register for the service by completing an authorization form, available at the Periodical Information Desk, 2nd floor, Main Library. This authorizes **Info Express** to charge out circulating materials in the individual's name, and to bill photocopy charges to the individual or to a departmental account.

Submit an "Interlibrary Loan / Info Express" form for each item requested. These forms are available at the Periodical Information Desk and can be submitted in the following ways:

In Person: Submit completed request forms at the Periodical Information Desk.

By Campus Mail: Send completed requests by campus mail to "Info Express, PIAS, Main Library."

By Fax: Send completed requests via fax machine to 672-2265.

By E-Mail: Sign on to your Kent VM account. Select #20 (Library: Reserve, Info X...) from the Kent Mail menu. Select "Info Express Requests" from the Library Information and Services menu and proceed through the templates, filling in each request form template completely. Type PF5 to process the request.

Materials are sent by campus mail to departmental or administrative offices as quickly as possible (usually within four to five days). **Books** are retrieved, charged out and sent at no charge. **Photocopies** cost $3.00 per article (up to 25 pages, plus $ .10 per page thereafter). Photocopies are billed to individuals or charged to departmental accounts. Books may be returned to the Library in person or via campus mail.

Requests for items not owned by the University Libraries will be forwarded to Interlibrary Loan, if the requester so indicates on the form. For further information call **Info Express** at 672-3710.

220

SB:jcc9/93

Employing TQM Methodologies in ILL and Document Delivery: Assessing Lending Performance and Customer Satisfaction

Anne K. Beaubien
Head, Cooperative Access Services, University of Michigan Library
April 20, 1994

I. Getting started

A. University of Michigan environment

B. Initial charge to the team

II. Issues examined

A. Work flow

B. Reasons that ILL can't fill some of the requests from other institutions

C. Improved communication with internal library patrons regarding services offered

III. Findings

IV. Overall Observations

A. Observations

B. Benefits of the team

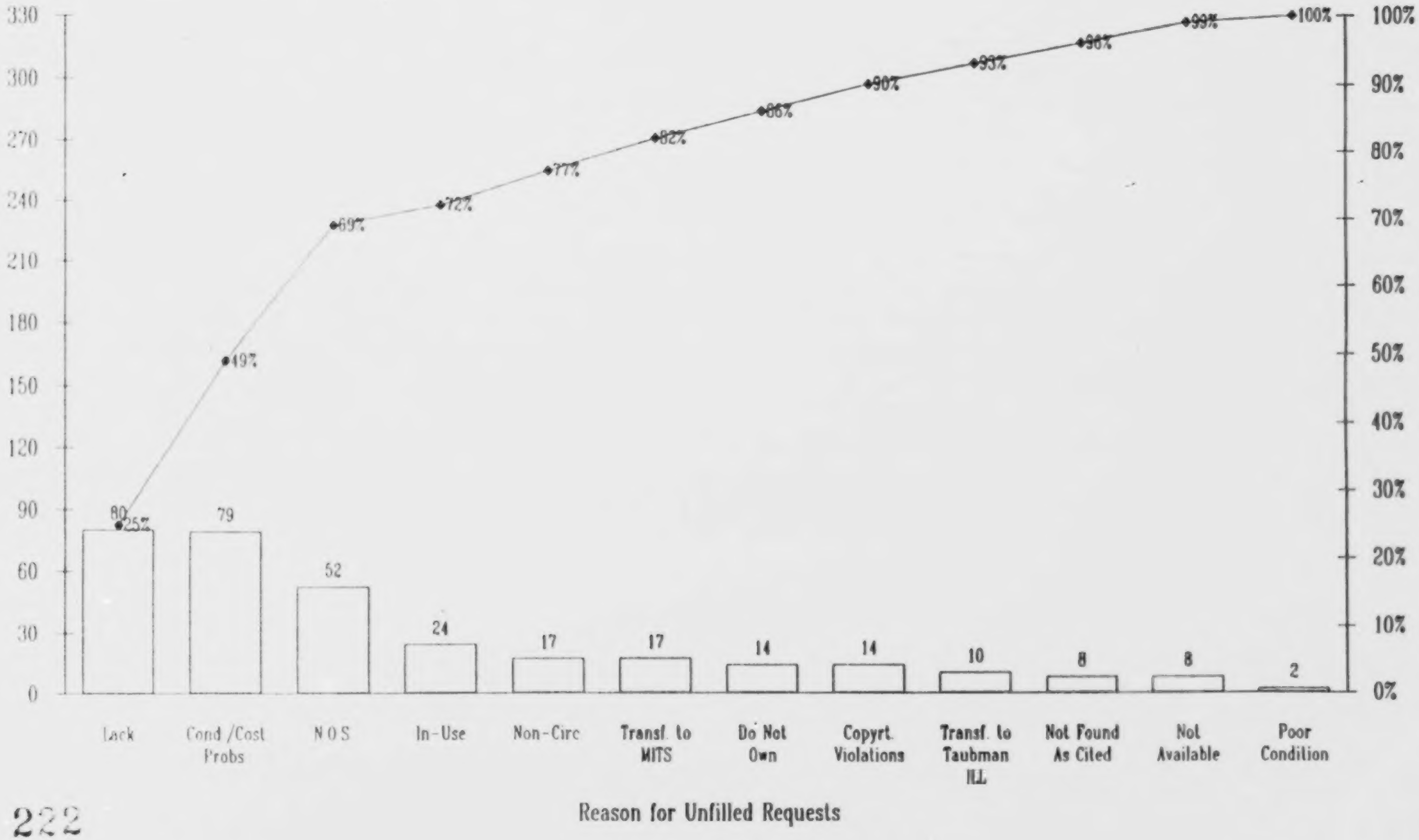
C. Drawbacks of the team

D. Success Factors

E. Things to do differently if we had it to do over

F. Future directions

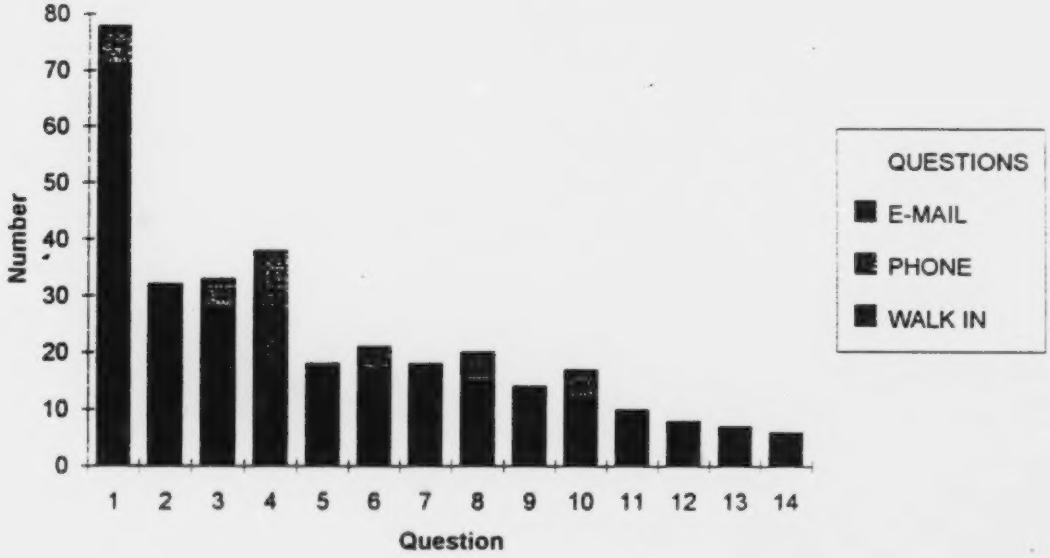
Pareto Chart of Unfilled ILL Requests



Week of:

Walk-In	Phone	E-Mail	Questions
			How long will it take to get my item?
			How do I order?
			How will I be notified?
			Does it cost anything?
			Can I renew this?
			How long can I keep it?
			What happened to my request?
			What is ILL?
			How many can I order?
			Where do I pick this up?
			Can you find out who owns this?
			Is there any way to speed it up?
			Other questions:

ILL Survey Results



Question:

1. How long will it take to get my item?
2. Can you find out who owns this?
3. How do I order?
4. Can I renew this?
5. How will I be notified?
6. What happened to my request?
7. Where do I pick this up?
8. Does it cost anything?
9. What is ILL?
10. Is there any way to speed it up?
11. Circulation. suggested that patron should use ILL
12. How long can I keep it?
13. How can I get this item?
14. Is this item available?

The committee decided that information was needed to determine what questions borrowers were asking. A questionnaire was made and sent, with a cover letter, to Engineering, Taubman Medical, the Graduate Library Information Center and the Interlibrary Loan Department. They were asked to collect data for 3 weeks. The questionnaires were collected, tabulated and discussed. From 49 questions asked, the 14 most frequently asked were made into the bar chart shown here.

SHIFTING THE PARADIGM WITH QUALITY:
THE INDIANA UNIVERSITY LIBRARIES EXPERIENCE
WITH REORGANIZATION AND PLANNING

First International Conference on TQM
and Academic Libraries
April 21, 1994

SHIFTING THE PARADIGM WITH QUALITY: THE INDIANA UNIVERSITY LIBRARIES EXPERIENCE WITH REORGANIZATION AND PLANNING

First International Conference on TQM and Academic Libraries
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Some Environmental Factors Driving Change
- transition to electronic library
- budget - reductions and RCM
- technology
- seeking balance
- stress
- political climate

Reorganization
- principles guiding the reorganization
- new structure
- how it operates
- problems/challenges

Planning Process
- key assumptions/principles
- progress to date

Libraries Quality Process (LQP)
- guidelines and understandings
- introduction of the process
- pilot programs
  - Automation Department
  - Access Services
  - Preservation
- What we have learned

Review Process
- "Mini-quality" component

Present environment
- productivity
- technology initiatives
- partnerships
- increase in "clustering"
- less ambiguity

Next Steps
- reorganization review
- expand quality pilots
- continue reviews
- re-initiate annual report process
- evaluation
- training needs

SOME ENVIRONMENTAL FACTORS DRIVING CHANGE

transition to electronic library

budget - reductions and RCM

technology

seeking balance

stress

political climate

REORGANIZATION

principles guiding the reorganization

new structure

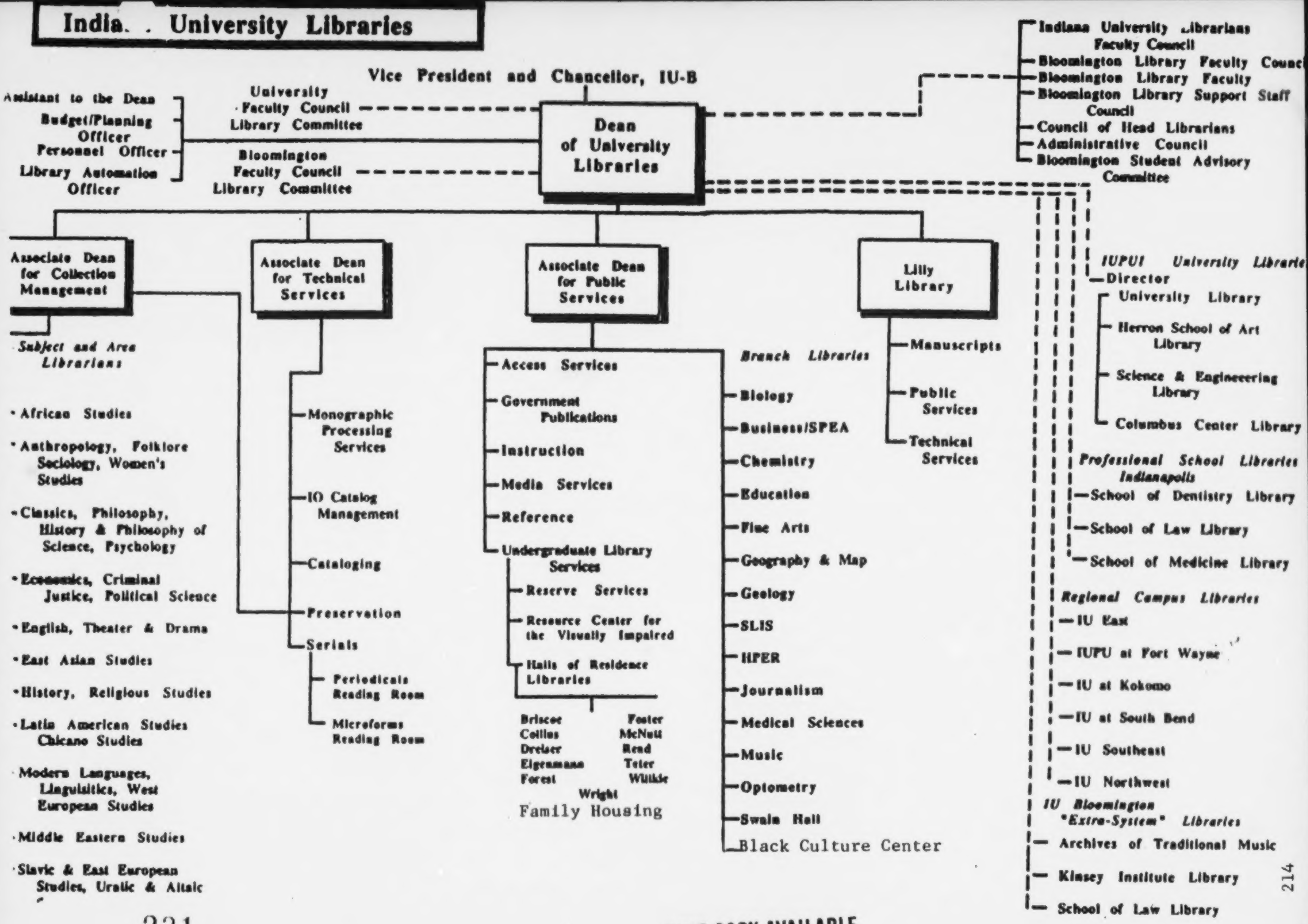
how it operates

problems/challenges

PRINCIPLES OF REORGANIZATION

- focus on the information and service needs of the Indiana University community
- distribute administrative responsibility and authority more widely throughout the organization
- integrate key activities and operations
- create flexibility in the structure
- promote high levels of effective communication
- enhance small group process
- stimulate creativity and risk-taking
- create a more collegial and collaborative working environment

India. . University Libraries



Vice President and Chancellor, IU-B

- **Dean of University Libraries**
  - Assistant to the Dean
  - Budget/Planning Officer
  - Personnel Officer
  - Library Automation Officer
  - University Faculty Council Library Committee
  - Bloomington Faculty Council Library Committee
  - Indiana University Librarians Faculty Council
  - Bloomington Library Faculty Counc
  - Bloomington Library Faculty
  - Bloomington Library Support Staff Council
  - Council of Head Librarians
  - Administrative Council
  - Bloomington Student Advisory Committee
  - **Associate Dean for Collection Management**
    - *Subject and Area Librarians*
      - African Studies
      - Anthropology, Folklore Sociology, Women's Studies
      - Classics, Philosophy, History & Philosophy of Science, Psychology
      - Economics, Criminal Justice, Political Science
      - English, Theater & Drama
      - East Asian Studies
      - History, Religious Studies
      - Latin American Studies Chicano Studies
      - Modern Languages, Linguisitics, West European Studies
      - Middle Eastern Studies
      - Slavic & East European Studies, Uralic & Altaic
    - Preservation
  - **Associate Dean for Technical Services**
    - Monographic Processing Services
    - IO Catalog Management
    - Cataloging
    - Preservation
    - Serials
      - Periodicals Reading Room
      - Microforms Reading Room
  - **Associate Dean for Public Services**
    - Access Services
    - Government Publications
    - Instruction
    - Media Services
    - Reference
    - Undergraduate Library Services
      - Reserve Services
      - Resource Center for the Visually Impaired
      - Halls of Residence Libraries
        - Briscoe
        - Collins
        - Dreiser
        - Eigenmann
        - Forest
        - Foster
        - McNutt
        - Read
        - Teter
        - Willkie
        - Wright
        - Family Housing
    - *Branch Libraries*
      - Biology
      - Business/SPEA
      - Chemistry
      - Education
      - Fine Arts
      - Geography & Map
      - Geology
      - SLIS
      - HPER
      - Journalism
      - Medical Sciences
      - Music
      - Optometry
      - Swain Hall
      - Black Culture Center
  - **Lilly Library**
    - Manuscripts
    - Public Services
    - Technical Services
  - *IUPUI University Librarie*
    - Director
      - University Library
      - Herron School of Art Library
      - Science & Engineering Library
      - Columbus Center Library
  - *Professional School Libraries Indianapolis*
    - School of Dentistry Library
    - School of Law Library
    - School of Medicine Library
  - *Regional Campus Libraries*
    - IU East
    - IUPU at Fort Wayne
    - IU at Kokomo
    - IU at South Bend
    - IU Southeast
    - IU Northwest
  - *IU Bloomington "Extra-System" Libraries*
    - Archives of Traditional Music
    - Kinsey Institute Library
    - School of Law Library

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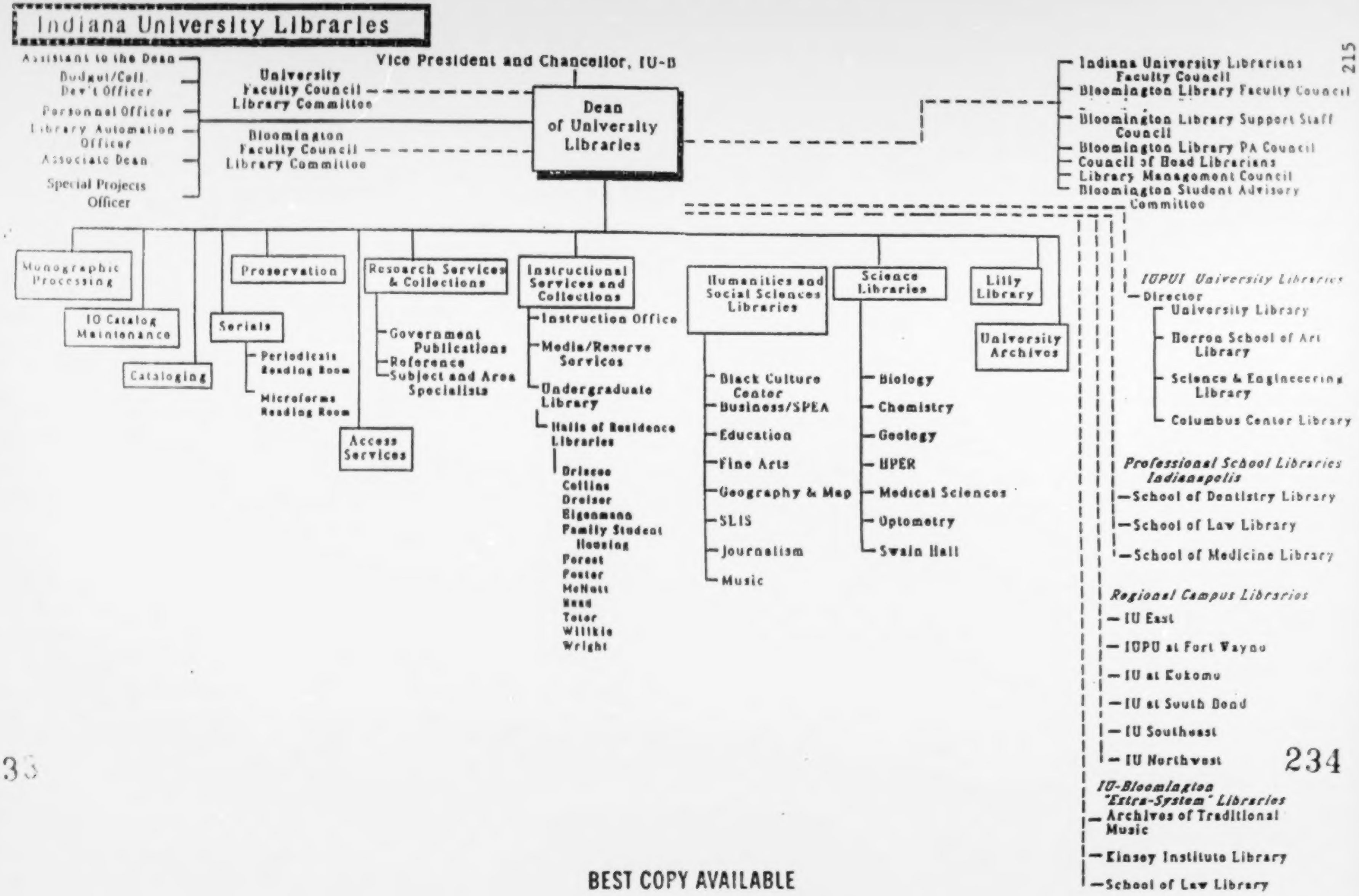
Indiana University Libraries
Vice President and Chancellor, IU-B
Assistant to the Dean
Budget/Coll. Dev't Officer
Personnel Officer
Library Automation Officer
Associate Dean
Special Projects Officer
University Faculty Council Library Committee
Bloomington Faculty Council Library Committee
Dean of University Libraries
Indiana University Librarians Faculty Council
Bloomington Library Faculty Council
Bloomington Library Support Staff Council
Bloomington Library PA Council
Council of Head Librarians
Library Management Council
Bloomington Student Advisory Committee
Monographic Processing
IO Catalog Maintenance
Cataloging
Preservation
Serials
Periodicals Reading Room
Microforms Reading Room
Research Services & Collections
Government Publications
Reference
Subject and Area Specialists
Access Services
Instructional Services and Collections
Instruction Office
Media/Reserve Services
Undergraduate Library
Halls of Residence Libraries
Briscoe
Collins
Dreiser
Eigenmann
Family Student Housing
Forest
Foster
McNutt
Read
Teter
Willkie
Wright
Humanities and Social Sciences Libraries
Black Culture Center
Business/SPEA
Education
Fine Arts
Geography & Map
SLIS
Journalism
Music
Science Libraries
Biology
Chemistry
Geology
HPER
Medical Sciences
Optometry
Swain Hall
Lilly Library
University Archives
IUPUI University Libraries
Director
University Library
Herron School of Art Library
Science & Engineering Library
Columbus Center Library
Professional School Libraries Indianapolis
School of Dentistry Library
School of Law Library
School of Medicine Library
Regional Campus Libraries
IU East
IUPU at Fort Wayne
IU at Kokomo
IU at South Bend
IU Southeast
IU Northwest
IU-Bloomington "Extra-System" Libraries
Archives of Traditional Music
Kinsey Institute Library
School of Law Library

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REORGANIZATION

How it operates:

CD Committee

Budgetary Advisory Committee

Equipment Committee

Online Database Committee

Clusters:

- Public Awareness Committee
- Space Management
- Technical Services
- Main Library
- Instruction
- Imaging
- History

Handling Specific Problems:

- Serials budget
- Microforms

PLANNING PROCESS

key assumptions/principles

progress to date

PLANNING PROCESS - KEY ASSUMPTIONS

- planning is important and is expected by the campus administration

- planning will be tied to evaluation and resource allocation

- planning must reflect user needs - internal and external

- all staff must be involved

- the organizational structure will continue to be evaluated and changed

- continued technological transformation must be accommodated

- constrained budgets will continue to face the Libraries

- staff size will contract and expectations of staff will increase

- self-service increasingly must be facilitated

- instructional activities will increase

- document delivery and cooperative programs will increase

- fiscal planning, technology planning, staff training, and public awareness are all elements tied to the overall planning process

PLANNING PROCESS

Progress to date:

- Set Goals - Objectives - Activities
- Identify 7 areas of basic concern:
  - collection funding and access to information
  - review process
  - library automation
  - funding enhancement
  - special projects/temporary staff needs
  - retrospective conversion
  - space/renovation needs

REORGANIZATION

Problems/Challenges:

Difficulty in defining department structure/organization

Waiting to be empowered

Suspicion

Associate Dean ties

Ambiguity

Function of Libraries Management Council

GUIDELINES AND UNDERSTANDINGS WHICH GUIDE THE QUALITY PROCESS

1) The quality process is tied to a cultural change in the Libraries which began with the reorganization.

2) It is a "process" not a project. It is continuous and it undergirds all library activities. What it is called is not important - the concept is.

3) It is not a "quick-fix".

4) It is an integral part of planning with its continual focus on user needs.

5) The quality process can extend the concept of team-building and utilizes cross-functional teams in the work of the Libraries.

6) It can lead to more efficient use of time in this period of downsizing.

7) Training in the tools of the quality process will be limited to general principles and to specific "just in time" training needs identified as part of individual quality programs.

8) Focus always is the external user or internal client.

9) It provides for input from employees at all levels, especially those who are performing the tasks.

10) The quality process directly helps the setting of priorities for the work and resources of the Libraries.

INTRODUCTION OF THE QUALITY PROCESS

Quality Process Pilot programs

Automation

Preservation

Access Services

QUALITY PROCESS

What we have learned

13 things learned/gained thus far from the pilot

- develop understanding of a unit
- emphasize interdependence of units by highlighting units' relationships and developing tools to understand those relationships
- strengthen team building
- improve communication
- understand workflows
- identify training needs
- understand and analyze impacts of decisions
- recognize individuals' expertise and experience
- acquire problem solving skills
- learn project management skills
- increase interaction with users and other units
- cultivate relationships with units outside the Libraries
- receive evaluation and assessment from users

REVIEW PROCESS

("Mini-quality" component)

- School of Library and Information Science Library
- Health, Physical Education and Recreation Library
- Journalism Library
- Preservation Department
- Undergraduate Library Collections
- Instruction

PRESENT ENVIRONMENT

Productivity

Technology initiatives

Partnerships

Increases in "clustering" and innovative ideas

Less ambiguity

NEXT STEPS

reorganization review

expand quality pilots

continue reviews

evaluation methods

training needs

re-initiate annual report process

ELEMENTS OF ANNUAL REPORTS

identification of users - internal and external

identification of methods used to communicate with users about their needs and the services they are receiving

expression of a unit mission based on user needs

establishment of priority goals and activities for coming year with focus on those that support Libraries-wide priorities and user needs

report on achievements related to goals and activities

identification of resource issues related to goals and activities

Dean's Office
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University Library
The University of Michigan

THE DIRECTOR'S LEADERSHIP ROLE IN KEEPING TQM ALIVE AND WELL

Donald E. Riggs
Dean, University Library
University of Michigan, Ann Arbor

I. PREPARING FOR TQM BEFORE IT IS BORN IN YOUR LIBRARY

A. Getting your strategic plan in place

-- Vision

-- Mission

-- Goals/objectives

-- Strategies

B. Beginning to ponder a culture change

-- Paradigm shifts

-- Refocus on quality

-- Stronger emphasis on the customer/user

II. TAKING A BOLD AND DYNAMIC LEADERSHIP ROLE

A. Making it obvious that the director is committed to making TQM successful

B. Serving as chair of the library's top TQM lead team

C. Committing necessary resources

D. "Walking the talk" in daily work

E. Challenging the familiar saying of library leaders, "My style is my style. It's me. I've always been this way, and I can't change now."

F. Moving from a one-dimensional to a two-dimensional, or why not to a three-dimensional leadership style

III. MAKING CERTAIN QUALITY INITIATIVES SURVIVE THEIR GROWING PAINS

   A. Removing any semblance that no one is at the controls

   B. Keeping the quality endeavors from stalling or "hitting the wall"

   C. Having "restarting" mechanisms in place if needed

IV. KEEPING QUALITY IN HIGH GEAR

   A. Moving from gangs to circles to teams

   B. Empowering teams

   C. Making certain empowerment does not backfire

   D. Encouraging creativity, innovation, problem solving, and decision making

   E. Removing the "air of positive discontent" ethos

   F. Ensuring that TQM does not become another expensive, unproductive fad

   G. Sleeping with one eye open with a customer/user success survey pinned to your pillow

   H. Communicating, communicating, communicating

V. RECOGNIZING AND CELEBRATING SUCCESS

   A. Remembering that small wins are important

   B. Publicizing quality success stories

   C. Using the story board approach for soliciting comments for improving processes

   D. Providing staff recognition awards

VI. RENEWING THE LEADERSHP ROLE

   A. Emphasizing the benefits of the holistic process

   B. Providing genuine leadership, not just cheerleading

   C. Migrating from transactional to transformational leadership

   D. Revisiting cultural changes throughout the library

   E. Underscoring the importance of "continuous improvement"

DEMING'S "DEADLY SINS" (PARAPHRASED)

- ✓ A lack of "constancy of purpose" in libraries
- ✓ An over-emphasis on the short term
- ✓ A lack of long-term perspective and planning
- ✓ Damaging systems of personnel performance evaluation
- ✓ Too much emphasis on goal orientation and running the library on the basis of visible numbers

University Library
The University of Michigan

LEADERSHIP FOR TQM

- Being a visionary
- Managing uncertainty
- Being people-oriented
- Being sensitive to customers' values and needs
- Being committed to innovation
- Being visible
- Willing to delegate and empower
- Willing to challenge the process
- Modeling the way
- Knowing thyself

University Library
The University of Michigan

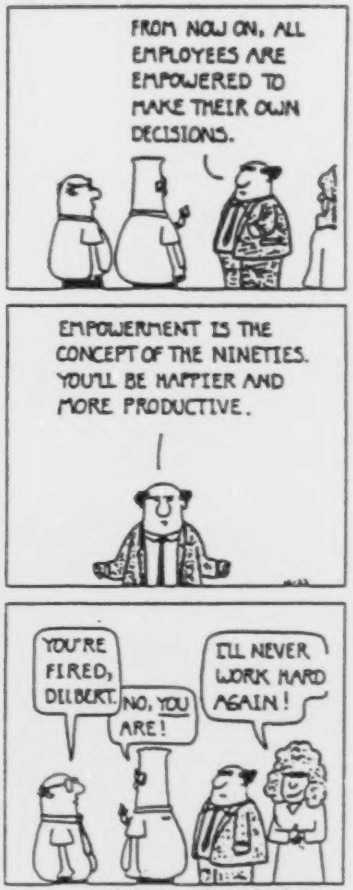
THE LEADERSHIP CONTINUUM

Autocratic:
- Tells
- Controls
- Makes all decisions

Participative:
- Consults
- Involves
- Seeks input

Empowering:
- Counsels
- Coaches
- Shares decision process

Dilbert© By Scott Adams


FROM NOW ON, ALL EMPLOYEES ARE EMPOWERED TO MAKE THEIR OWN DECISIONS.
EMPOWERMENT IS THE CONCEPT OF THE NINETIES. YOU'LL BE HAPPIER AND MORE PRODUCTIVE.
YOU'RE FIRED, DILBERT.
NO, YOU ARE!
I'LL NEVER WORK HARD AGAIN!

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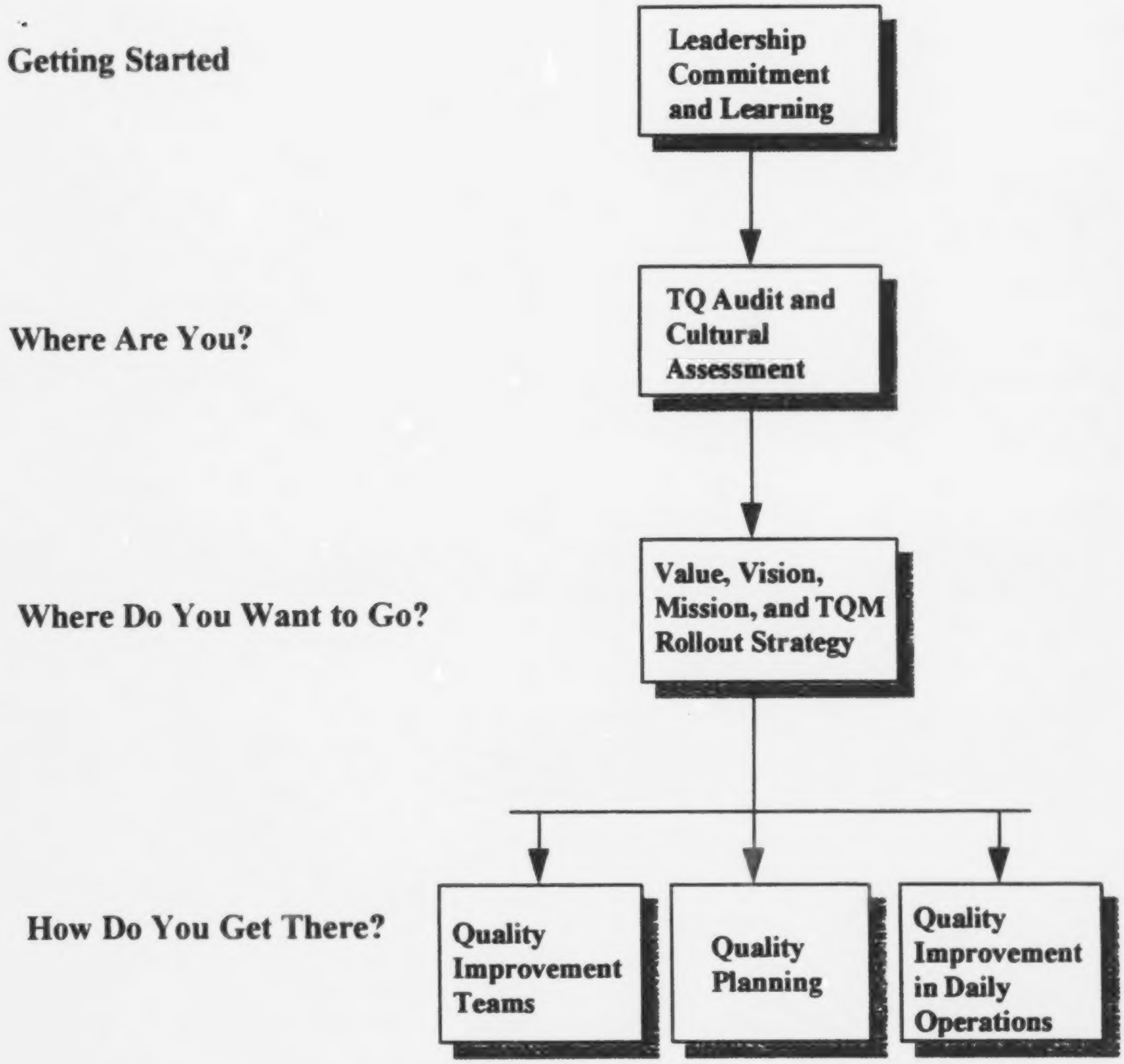
TQM IMPLEMENTATION APPROACH



Getting Started

Leadership Commitment and Learning

Where Are You?

TQ Audit and Cultural Assessment

Where Do You Want to Go?

Value, Vision, Mission, and TQM Rollout Strategy

How Do You Get There?

Quality Improvement Teams

Quality Planning

Quality Improvement in Daily Operations

University Library
The University of Michigan

TQM and Re-engineering: Two Processes Toward a Common Goal

Speaker: Sharon Hogan
University Librarian & Interim Director of the Academic Computer Center

Abstract: Organizational hierarchies that have served as management structures in research libraries for the past sixty years have begun to creak in the face of the technological gale sweeping the country. Old decision-making models are not working. In addition, questions of accountability and efficiency face all of higher education and reallocation on campuses often means that libraries are doing more with less. The Library at the University of Illinois at Chicago has adopted a dual strategy to respond to these two forces: total quality management (TQM) and re-engineering. This paper will describe and contrast the two strategic processes; discuss the choice of process in particular situations; report staff participation in and reservations about each process; review university support, timetables and expected outcomes; and describe the interim organizational structures.

Outline:

I. TQM
  University Context - Service/Accountability
  Library joins the pilot
  Staff participation and reaction
  Twenty months later

II. Re-engineering
  University Context - Reallocation
  Library Option - Consolidation
  Evolution to re-engineering
  Staff participation and reaction
  University support
  Six months from now

III. Interim Organizational Structures
  University Context - Change
  Library Context - Efficiency
  Can anyone draw a picture of this?
  Staff participation and reactions
  Administrative change and reaction

IV. The Common Goal
  Convergence of TQM and Re-engineering
  Evolution of the organizational structure
  Fourteen months from now

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CUSTOMER SATISFACTION ANALYSIS
The Gateway to Total Quality Management

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ABSTRACT:

Customer satisfaction analysis is the gateway to Total Quality Management (TQM) implementation. While no universally accepted definition of TQM exists, there are only two valid reasons to pursue TQM:

- Increasing Value to Customers
- Reducing Costs

Ample evidence exists that TQM has failed to produce hoped for improvements in many applications. To overcome initial implementation pitfalls, those beginning a TQM initiative can use customer satisfaction analysis to both identify performance shortfalls and drive organizational change.

Quantitative approaches to customer satisfaction analysis focus on identifying importance and satisfaction issues. A key design principle is to include those systems and processes which impact, but are never seen by the customer.

This paper describes what to consider in the design of customer satisfaction questionnaires and steps in the survey process. Example surveys are included, as well as the implications of various survey outcomes. A library example is provided that illustrates how to use existing customer comments in the survey design process.

Libraries beginning a TQM initiative should look first at the customer satisfaction issue. After all, attributes usually associated with TQM, e.g., leadership, empowerment, training, etc., should exist only to support customer satisfaction.

CUSTOMER SATISFACTION ANALYSIS

- Objective approach
- Understanding your customers
- How well does your mission, strategy, products and services match the market

TOTAL QUALITY MANAGEMENT

- Increase value to customers
- Reduce costs
- Customer satisfaction component

"TQM consists of continuous improvement activities involving everyone in the organization - managers and workers - in a totally integrated effort toward improving performance at every level. This improved performance is directed toward satisfying such cross-functional goals as quality, cost, schedule, mission, need, and suitability. TQM integrates fundamental management techniques, existing improvement efforts, and technical tools under a disciplined approach focused on continued process improvement. The activities are ultimately focused on increased customer/user satisfaction.

(Ref: US Air Force, in Introduction to TQM by Goetsch and Davis, Macmillan, 1994.)

NOTES:

TQM EFFECTIVENESS ISSUES

- Return on Investment
- Time to improvement
- Degree of improvement

TQM PITFALLS

- Common mistakes
- The paymaster problem
- Library issues

NOTES:

QUANTITATIVE APPROACHES

- Product and service features
- Product/service delivery process

IMPORTANCE

- Understanding customer needs
- Feature ranking

SATISFACTION

- Evaluating satisfaction issues
- Identifying product and service features
- Unseen processes

NOTES:

SATISFACTION SYSTEMS

- Constituent groups
- Channels and frequencies
- Systematic approach

SATISFACTION QUESTIONNAIRES

- The key requirement
- Components of the questionnaire
- Identifying key features
- Basic quality dimensions

SAMPLE QUALITY DIMENSIONS

- Support services
- Software

NOTES:

SURVEY INSTRUMENT CONSTRUCTION TECHNIQUES

- Six methods
- Advantages and disadvantages

EXAMPLE SURVEYS

- Response formats
- Complexity
- Effectiveness

RESULTS ANALYSIS

- Impact at three levels
- Strategy implications
- Improvements

NOTES:

HOW TO START

- Small is best
- A methodology
- Linkage to other TQM efforts

SUMMARY

- Customer satisfaction as the driving force
- Role of supporting concepts

NOTES:

ACCESS II QUALITY

Initiation and Implementation of a TQM Program at the Access Services Department Paul V. Galvin Library Illinois Institute of Technology

Dr. Sohair W. Elbaz
Director of Libraries
Illinois Institute of Technology

1st International Conference on TQM and Academic Libraries
Association of Research Libraries

April 1994

CIP

Continuous Improvement Program

A Total Quality Management Program for IIT Libraries

"Cheshire," Alice asked,

"Would you please tell me which way I ought to go from here?"

"That depends on where you want to get to," said the cat.

- Lewis Carroll, ***Alice in Wonderland***

IIT LIBRARY CLIMATE

- NEW MANAGEMENT TEAM

Director, Associate Director, Department Heads
(75% of Staff)

- TROUBLING HISTORY

Departure of the John Crerar Library's research collection after two decades.

- DIVERSE OPINION ON WHAT IS RIGHT AND WHAT IS NEEDED

Faculty vs. Librarians

- IMMENSE PRESSURE TO BE REACTIVE

BASIC QUESTIONS

- WHAT BUSINESS ARE WE IN?

- WHAT IS OUR MISSION?

- WHERE DO WE WANT TO GO?

- WHAT IS THE BEST WAY TO GET THERE?

Mission Statement

The Paul V. Galvin Library is the main university library of Illinois Institute of Technology (IIT). The mission of the Galvin Library and its four branch libraries (the IIT Library System) is to: Access, acquire, organize, preserve, and disseminate recorded information and knowledge consistent with the needs and societal concerns of IIT's educational mandates; to support the research, informational and instructional needs of the IIT Community, particularly students and faculty; and to serve as an access point for any needed information.

This shall include provision in the collection of materials required for both instruction (undergraduate and graduate) and research, with emphasis on all fields of engineering, business administration, design, the social and physical sciences, architecture, the humanities, and military science.

The IIT Library System shall strive to provide the highest quality information services to the IIT Community. Every attempt will be made to incorporate current technological changes into its information services and to continuously evaluate the adequacy of these services.

Quality Policy of IIT Libraries

IIT Libraries are dedicated to providing information services, designed to a level of quality that best helps IIT students, faculty and staff achieve academic and personal success.

WHY ESTABLISH A TQM PROGRAM IN THIS ENVIRONMENT?

- TQM IS A SYSTEMATIC WAY OF GUARANTEEING THAT ORGANIZED ACTIVITIES HAPPEN AS PLANNED. (Philip Crosby)
- MBO NO LONGER WORKS FOR US
- INCREASE OF INTERDEPENDENCE AMONG LIBRARY SYSTEMS
- WHY NOT!

WHAT IS NEEDED?

- EDUCATION & TRAINING
- RESOURCES
- A SUCCESSFUL PILOT PROJECT

POTENTIAL PROBLEMS

- EVERYONE BELIEVES THEY ALREADY KNOW THE ANSWERS.
- TIME & COST FACTORS
- TQM IS A FAD

Criteria Used in Selecting Initial Processes for TQM Improvement

Process has direct impact on users

Cycle times for the process can be reduced

Task is simple, i.e., clerical and repetitive

Process has clearly defined starting and ending points

Process is recognized by all staff as important

Process is highly visible

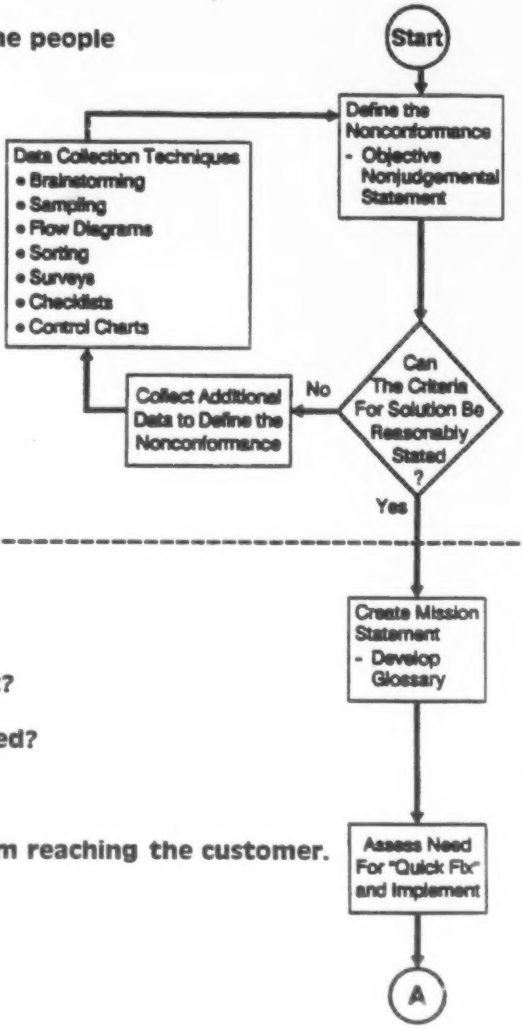
Access II Quality - Elbaz

PAUL V. GALVIN LIBRARY - IIT

THE SIX STEPS TO PROBLEM ELIMINATION

STEP 1:
Define the Situation

- What is the problem?
    - Seperate the problem from the people involved.
- Who are the customers affected?
- What requirements are not being met?
- What is the scope of the problem?
    - Where does it occur?
    - When does it occur?
    - How serious is the problem?
    - What is the PONC?


Start
Define the Nonconformance
- Objective Nonjudgemental Statement
Data Collection Techniques
• Brainstorming
• Sampling
• Flow Diagrams
• Sorting
• Surveys
• Checklists
• Control Charts
Can The Criteria For Solution Be Reasonably Stated ?
No
Collect Additional Data to Define the Nonconformance
Yes
Create Mission Statement
- Develop Glossary
Assess Need For "Quick Fix" and Implement
A

STEP 2:
Plan the Solution

- Who should be involved in solving it?
- How will we know when it's corrected?
- When must it be resolved?
- Take action to prevent problem from reaching the customer.
- Rework.
- Scrap.
- Replace.

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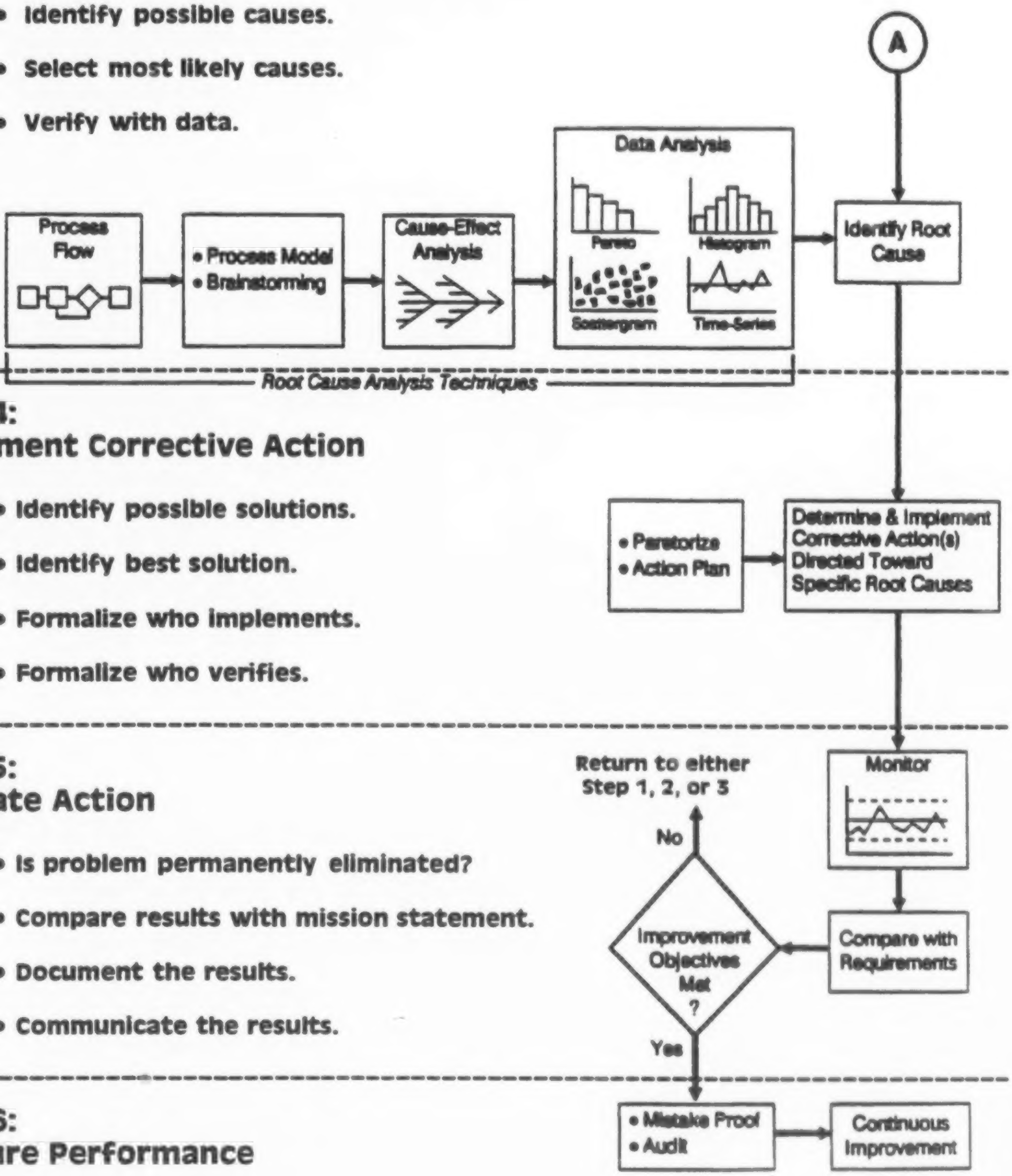
THE SIX STEPS TO PROBLEM ELIMINATION

STEP 3:
Identify Root Causes

- Identify possible causes.
- Select most likely causes.
- Verify with data.


A
Data Analysis
Pareto
Histogram
Scattergram
Time-Series
Process Flow
• Process Model
• Brainstorming
Cause-Effect Analysis
Identify Root Cause
Root Cause Analysis Techniques
• Paretorize
• Action Plan
Determine & Implement Corrective Action(s) Directed Toward Specific Root Causes
Monitor
Compare with Requirements
Improvement Objectives Met ?
No
Return to either Step 1, 2, or 3
Yes
• Mistake Proof
• Audit
Continuous Improvement

STEP 4:
Implement Corrective Action

- Identify possible solutions.
- Identify best solution.
- Formalize who implements.
- Formalize who verifies.

STEP 5:
Evaluate Action

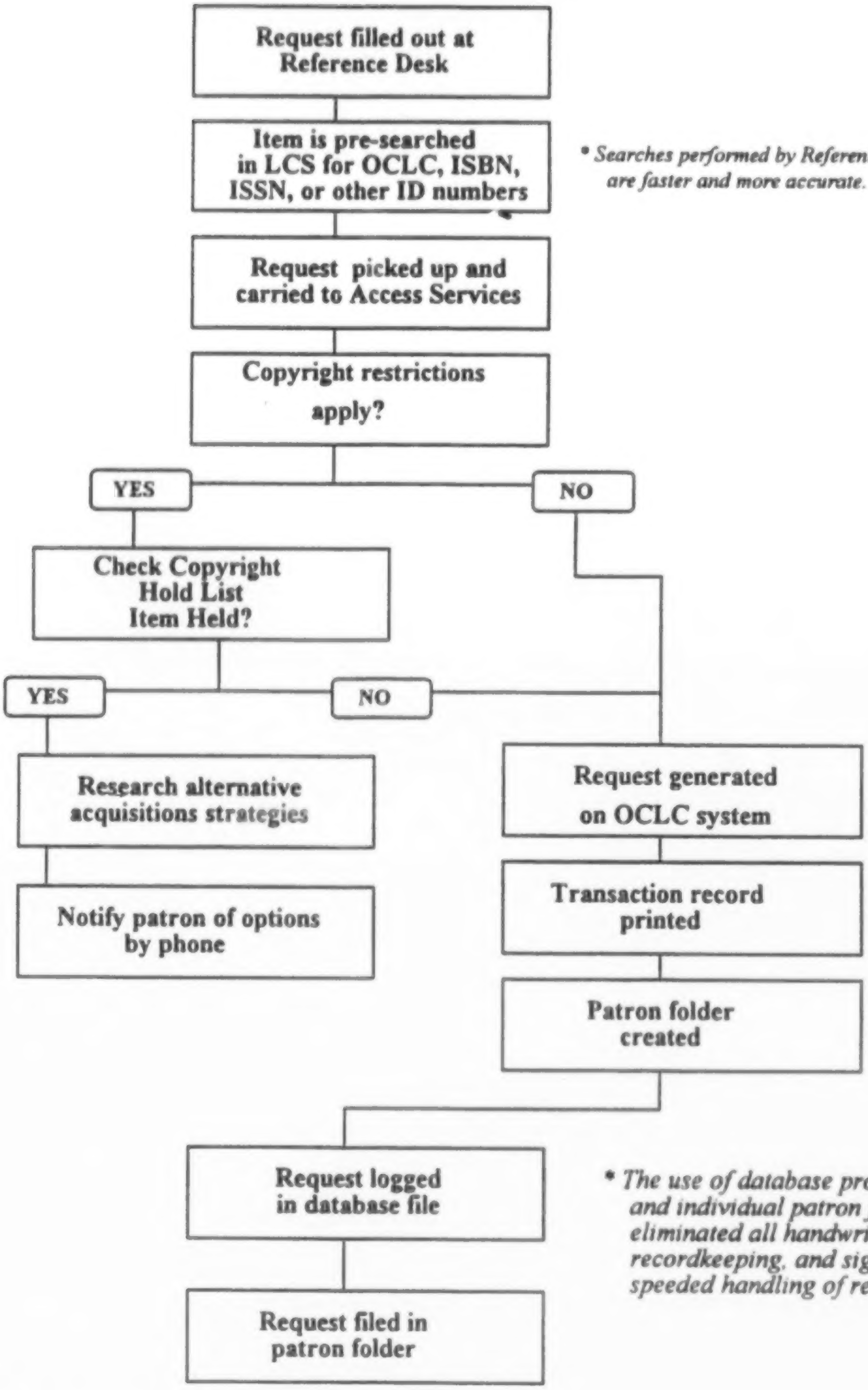
- Is problem permanently eliminated?
- Compare results with mission statement.
- Document the results.
- Communicate the results.

STEP 6:
Measure Performance

- Is the process "mistake proofed" or audited?
- Do informal reviews confirm validity of the solution?
- Continue to monitor performance and continue improvement.

Interlibrary Loan - Request Creation

Modified Process


Request filled out at Reference Desk
Item is pre-searched in LCS for OCLC, ISBN, ISSN, or other ID numbers
Request picked up and carried to Access Services
Copyright restrictions apply?
YES
NO
Check Copyright Hold List Item Held?
YES
NO
Research alternative acquisitions strategies
Notify patron of options by phone
Request generated on OCLC system
Transaction record printed
Patron folder created
Request logged in database file
Request filed in patron folder

** Searches performed by Reference Staff are faster and more accurate.*

** The use of database programs and individual patron folders eliminated all handwritten recordkeeping, and significantly speeded handling of requests.*

TQM
ILL TURNAROUND TIME PROGRESS REPORT

Month	1992	1993
July	21	9
August	16	13
September	16	8
October	15	7
November	20	8
* NATIONAL AVG. (DAYS)	11	

ACCESS II QUALITY
TEN MOST HELPFUL BOOKS

Camp, Robert C. *Benchmarking: The Search for Industry Best Practices That Leads to Superior Performance*. Milwaukee, WI: Quality Press, 1989.

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Ziethanl, Valerie A, A. Parasaman and L. Berry. *Delivering Quality Services Balancing Customer Perceptions and Expectations.* New York, NY: The Free Press, 1990.

Libraries as Customers: Achieving Continuous Improvement Through Strategic Partnerships

Mary Lou Goodyear
Associate Director
Texas A&M University

Adrian W. Alexander
Regional Sales Manager
The Faxon Company

I. Introduction

   A. Critical nature of the supplier relationship

   B. Who are our suppliers?

      1. On campus suppliers
      2. Off campus suppliers

   C. Current supplier relationships

II. Options for Supplier Relationships

   A. Participation on teams

   B. Quality as a factor in supplier selection

   C. Strategic Partnerships

III. A New Model for Supplier Relationships

   A. Deming's Points #1 and #4

   B. Strategic Partner Models

IV. Future of Supplier Relationships

  A. Strategic alliance to effect change in environment

  B. New criteria for partnerships

Reference: Charles C. Poirier and William F. Houser. Business Partnering for Continuous Improvement: How to Forge Enduring Alliances Among Employees, Suppliers, and Customers. San Francisco: Berrett-Koehler Publishers, 1993.

Texas A&M University
Sterling C. Evans Library

Quality Support Network

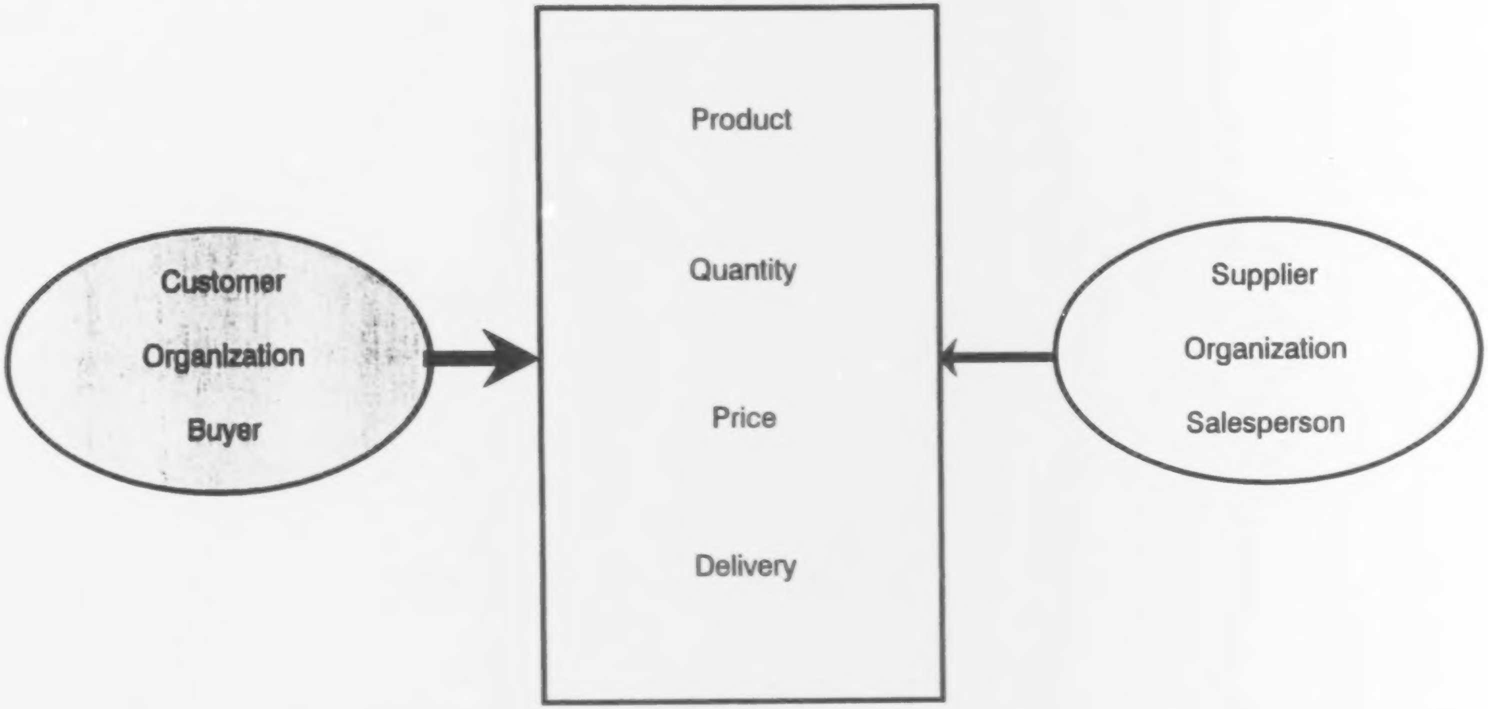
On Campus

- Central Receiving
- Computer and Information Services
- Copy Center
- Custodial Services
- Facilities Planning and Management
- Human Resources
- Mail Service
- Planning and Institutional Analysis
- Purchasing

Off Campus

- AMIGOS/OCLC
- Baker & Taylor
- Faxon
- Heckman Bindery
- NOTIS

The Traditional Customer-Supplier Relationship



Customer

Organization

Buyer

Product

Quantity

Price

Delivery

Supplier

Organization

Salesperson

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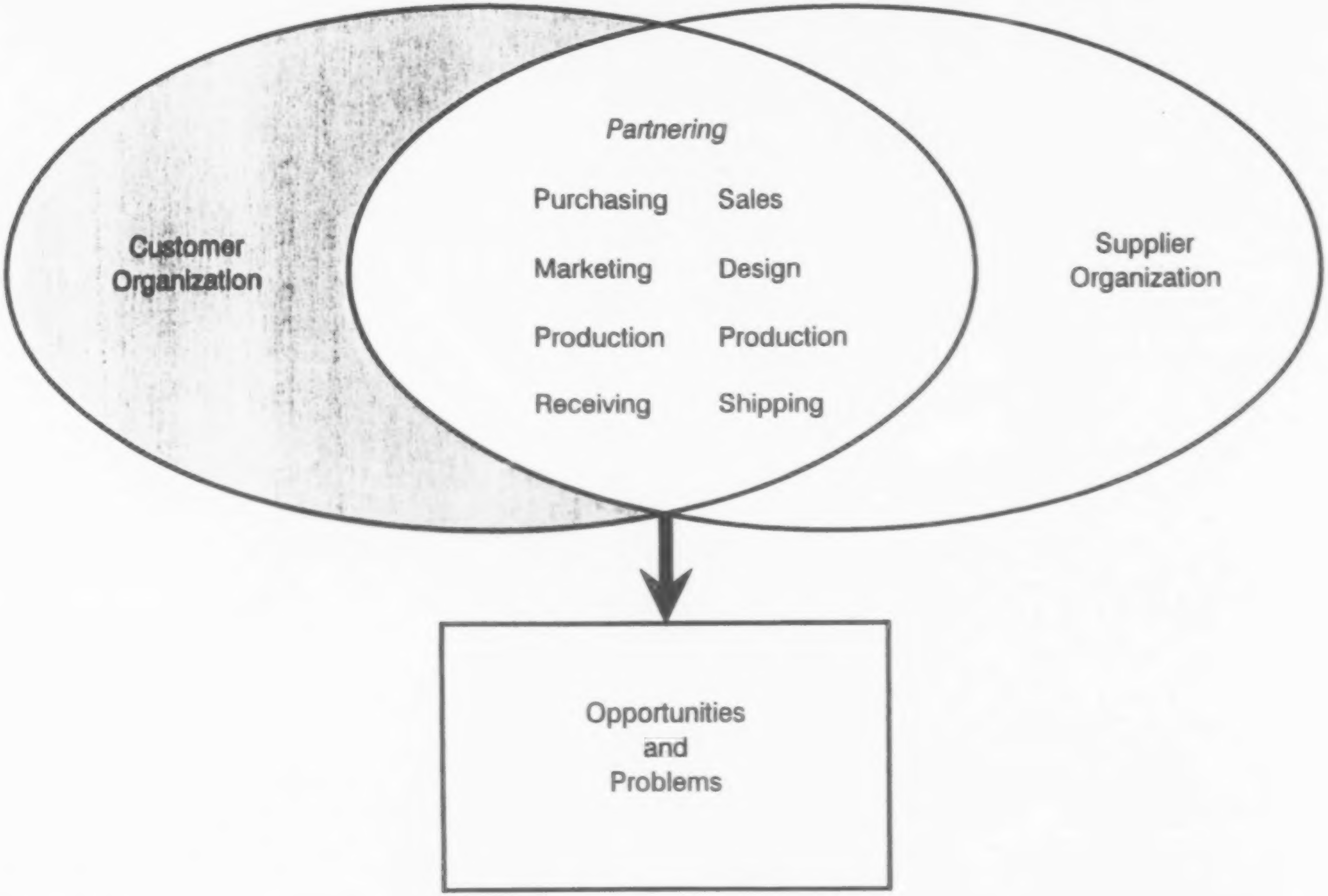
Deming's First Point

"Create constancy of purpose"

Deming's Fourteenth Point

"End the practice of awarding
business on the basis of price tag.
Instead, minimize total cost.
Move toward a single supplier for
any one item, on a long-term
relationship based on loyalty and trust."

An Improved Customer-Supplier Relationship



Customer Organization

Partnering

Purchasing
Marketing
Production
Receiving

Sales
Design
Production
Shipping

Supplier Organization

Opportunities and Problems

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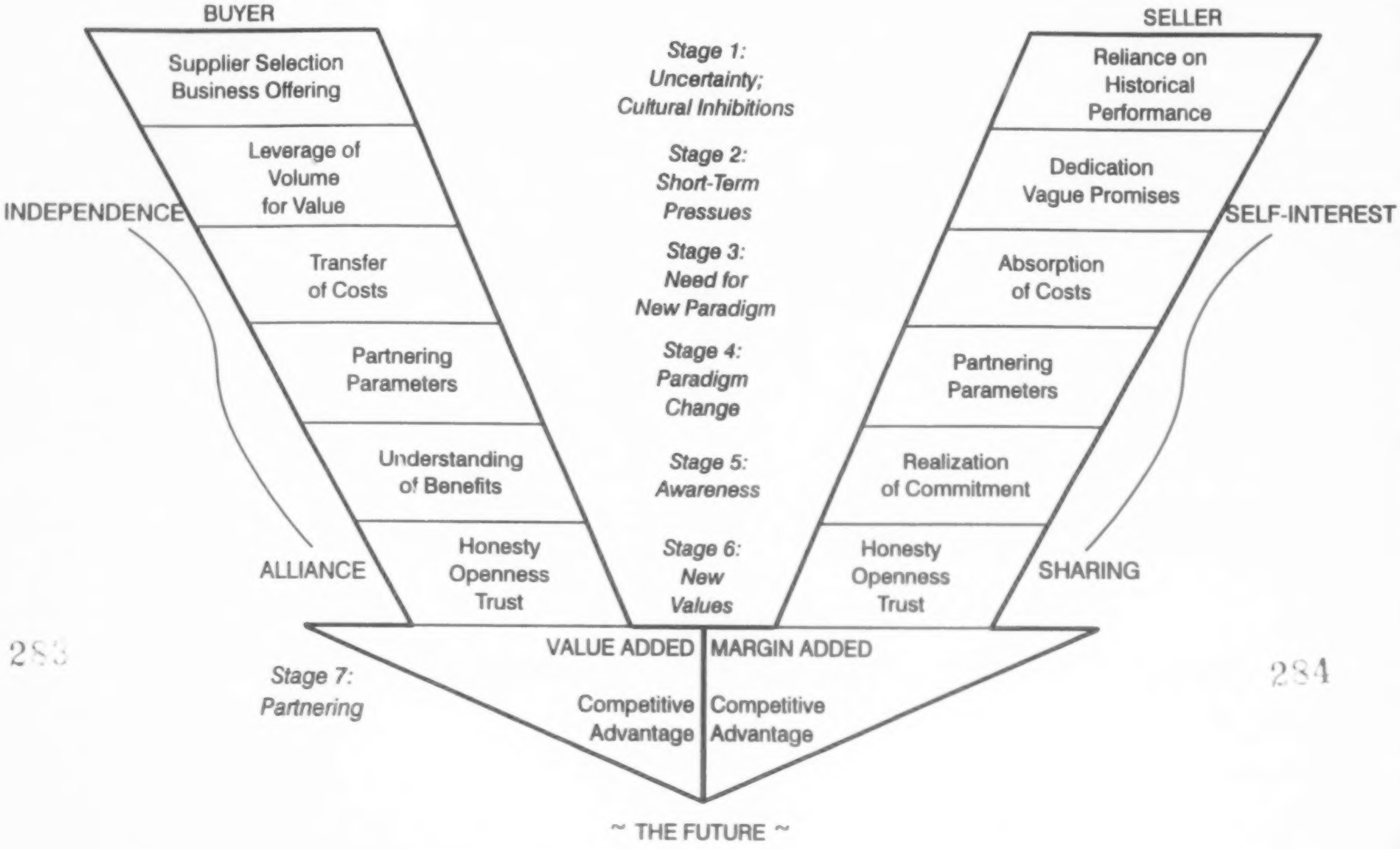
Evolution of Buyer-Supplier Partnering



BUYER

Supplier Selection Business Offering

Leverage of Volume for Value

Transfer of Costs

Partnering Parameters

Understanding of Benefits

Honesty Openness Trust

INDEPENDENCE

ALLIANCE

Stage 1: Uncertainty; Cultural Inhibitions

Stage 2: Short-Term Pressues

Stage 3: Need for New Paradigm

Stage 4: Paradigm Change

Stage 5: Awareness

Stage 6: New Values

SELLER

Reliance on Historical Performance

Dedication Vague Promises

Absorption of Costs

Partnering Parameters

Realization of Commitment

Honesty Openness Trust

SELF-INTEREST

SHARING

Stage 7: Partnering

VALUE ADDED

Competitive Advantage

MARGIN ADDED

Competitive Advantage

~ THE FUTURE ~

Strategic Planning in the Team-Based Environment.

Part One: Background

I. Introduction

II. Assumptions regarding the Library's New Strategic Planning Process
    A. Team Based
    B. Team Separate from the Library's Administration and Management Group (Dean's Cabinet)
    C. SLRP Team Empowerment
        1. Decision-Making Group
        2. Team Building and Specialized Training
        3. Team Responsibilities are Part of One's Job

III. Process/Composition of the SLRP Team
    A. Process of Appointment
    B. Library Wide, not Representative
    C. Student Membership
    D. Role of the Planning Librarian

IV. Team Mission/Charge
    A. Budgeting to the Plan, Ensuring the Inclusion of Priority Strategic Objectives
    B. Guidelines/Parameters of Reporting to Cabinet (Guidance Team)

V. Timeline from Long Range Plan to Annual Plan
    A. What Happened When/Very General
    B. Number of Staff Directly Involved in the Planning Process
        Overhead like a tree diagram
        Strategic Objective/Teams they're from
        Stratactic Teams/Teams they're from

Part Two: The Management By Planning (MBP) Process

I. Management by Planning is the system through which management accomplishes its primary tasks.
    A. Define long-range organizational direction
    B. Define performance expectations based on customer requirements.
    C. Align resources to accomplish the "vital few" objectives.
    D. Integrate activities functionally and cross-functionally.
    E. Monitor results to ensure focus and accountability.

F. Utilize data-based decision making

II. University administration adopts this process based on a similar process developed at Intel. University then moved as follows:

A. Developed a University Mission statement.
B. Defined and prioritized strategic objectives
C. Developed an MBP training program
D. Asked each unit to develop a similar plan which would be consonant with the University plan

III. Overview of the process used to develop the strategic long range plan at the Library

A. Appointment and training of the Strategic Long Range Planning and Budget Advisory (SLRP) Team. Includes only one administrator. Team receives training in strategic planning, effective meetings, and team building.

B. Conduct a Current Situation Analysis (CSA)

1. University and Library Direction
2. Customer surveys
3. Internal assessment
4. Benchmarking
5. Competitive intelligence, i.e. collect and analyze information on our "competitors" services, products and processes AND be predictive based on their capabilities, future plans, and relationships/partnerships
6. Environmental factors, i.e. collect and analyze key local, national and world trends that will influence our decisions including educational, economic, demographic, environmental, societal, legal

C. Develop strategic objectives for the Library. Each objective should focus on a single issue, have a measurable indicator, and have a desired goal.

1. SLRP Team drafts strategic objectives after reviewing university mission and strategic objectives as well as the Library's Mission, Vision and Aspiration statements.
2. Draft strategic objectives are reviewed with Dean's Cabinet (the Library leadership group and guidance team for SLRP), staff (using all-staff meetings, modified focus groups, email, newsletters, and open houses), and faculty through the Campus Library Council. Indicators and goals receive considerable attention to make them customer focussed.

D. Identify and evaluate critical processes. "Everything is accomplished through processes;" processes are critical to accomplishing strategic objectives. Cross-functional dependencies of processes must be understood. Processes are what you do to the input to accomplish the objective. CRITICAL processes are those which are vital to the success of the organization or which make the greatest contributions to achieving the organization's strategic objectives.

1. Identify the processes.
2. Evaluate the effectiveness (quality) of the process as it is now being performed. A = excellent to E = embryonic.
3. Tally the impact of each process on each strategic objective.
4. Prepare a quality/impact matrix to identify processes with high impact and low quality and therefore priority for improvement.

E. Develop strategies. Strategies should be developed for each strategic objective.

1. Appoint and train a Strategic Objective Team (SOT) for each strategic objective.
2. Each SOT will identify the strategies which will achieve the strategic objective. The previous steps of drafting, putting out drafts for comment and feedback, and revising as necessary are repeated by each SOT.

F. Identify the "vital few" strategies to be addressed in an annual plan. This step acknowledges that organizations cannot meaningfully address all strategic issues at once, but must choose those which will be most effective and important to move the organization forward to achieving its strategic objectives. At this point the SLRP team reviews the CSA data, the critical process information, and feedback from staff and leadership to designate a "vital few", perhaps 2-5 strategies as priorties for the annual plan to receive funding and support in the coming year.

G. Develop Tactics and Projects. For each priority strategy, an "owner" was designated and a "stratactic" team was appointed to develop both the tactics and projects which staff would undertake in the coming year. The same steps of drafting, putting out for comment, revising, prioritizing was used for both levels. There was an extensive effort to involve the regular operational teams at the project level because of the knowledge and expertise of staff actively involved in the work. Review, commentary, dialogue, questioning are critical at the project level because this is where decisions about what work will get done should be decided.

Part 3. Strengths and Limitations

I. STRENGTHS

A. Customer Focus

1. Indicators and goals are customer satisifaction and needs

2. Decisions directly involve groups closest to customers

3. Analysis of critical processes orients assessment toward meeting customer needs rather than team or department needs

B. Communication Issues

1. Model of cross functional teams with most types of staff and students active at every level through SLRP Team, SOTS, Stratactic Teams, BAG, Project Teams

2. Frequent reports out to staff and customers with opportunities for feedback and comments through reports to dean's cabinet, open houses, all staff meetings, electronic distribution lists, print newsletters, and campus library council

3. Interactive feedback sessions for strategic objectives and strategies were conducted by SLRP and SOT member facilitators to draw upon librarywide knowledge in determining and clarifying strategies.

C. Quality Issues

1. Empowerment through shared decision-making with responsibility for those decisions is embedded at every level

2. Multiple teams cooperate in filling in behind team members active in the planning process

3. Planning and budgeting are integrated to assure continuity of focus and quality

II. LIMITATIONS

A. Customer Focus

1. Start up encountered a lack of current situational analysis data, needs assessment tools, benchmarks. Measures are not yet available.

2. External and internal customers confuse long range strategic planning with co-occurant restructuring processes

B. Communication Issues

1. Lack of University resources/support to create and disseminate the necessary information and skills

2. Difficulty in conveying theoretical framework to all staff in a meaningful way until final stages of implementation illustrates different learning styles, and individually paced receptivity to and incorporation of ideas

3. Many staff have stayed apart from, or removed themselves from, the process

4. Communication overload exists during this tranisition phase with greatly escalated emphasis on training, information exchange, and individual responsibility for incorporation of information

C. Quality Issues

1. Significant challenges exist in adapting a plan developed for a private sector company to a not-for-profit higher educational institution

2. The SLRP participants model the values, aspirations and vision of the University and Library, a dynamic, learning organization dedicated to appropriate change

3. Decision-making and process improvement tools provided by MBP are difficult to understand and apply

Mission Statement for Dean's Cabinet

The mission of the Dean's Cabinet is to provide leadership and support for the Library staff in their efforts to fulfill the Library's mission of providing quality service to customers. The Cabinet will coordinate the development of the shared vision and articulate this vision, identifying and communicating values to which the Library aspires. The Cabinet will provide context and structure for maintaining customer focus and reinforce staff efforts to remove barriers to achieving user satisfaction with our services through continuous process improvement.

To achieve these ends the Dean's Cabinet will approve, monitor, and review Library strategic and annual priorities based on input from teams and the Strategic Long Range Planning and Budget Advisory Team; allocate resources based on planning priorities; develop Library policies and procedures needed for support of Library services to users; guide the development of a diverse, learning-oriented staff; generate resources to support priority user needs; empower cross-functional teams to accomplish identified tactics related to strategic and other objectives; and provide a model for team behavior that reflects the values and vision of the Library.

Charge to the Strategic Long Range Planning and Budget Advisory Team

The Team will prepare a draft of The University of Arizona Library's long range strategic plan which reflects and furthers the University's long range strategic plan. In addition, the Team will advise the Dean on library budget issues and policies, insuring that budget and spending priorities are in alignment with the Library's strategic plan. The Team will also be responsible for reviewing and proposing revisions to the Library's mission statement and the committee will also direct content and analysis of information that describes the Library's current situation.

The Team may call upon library personnel to serve on mission teams and facilitate the work of the Team. In order to meet the University's November 12, 1993 deadline, the Team's requests will be given priority.

The Dean's Cabinet will serve as the guidance team for the SLRP Team; progress reports will be made on a bi-weekly basis. Reports will also be provided to the Library Faculty Assembly and the Staff Governance Association on a regular basis. Doug Jones will serve as liaison between the Strategic Long Range Planning Team and the Dean's Cabinet.

STRENGTHS

I. Customer Focus

    A. Indicators and goals are customer satisifaction and needs.

    B. Decisions directly involve groups closest to customers.

    C. Critical processes assessment targets customer needs.

II. Communication Issues

    A. Models of cross-functional teams.

    B. Frequent reports to customers.

    C. Interactive feedback sessions.

III. Quality Issues

    A. Empowerment through shared decision-making.

    B. Teams fill in behind or stop tasks to allow members to participate.

    C. Planning and budgeting integration for continuity of focus and quality.

LIMITATIONS

I. Customer Focus

   A. Lack of data and tools.

   B. Confusion of longrange strategic planning with other processes.

II. Communication Issues

   A. Lack of University resources and support.

   B. Difficulty in conveying theoretical framework to all staff.

   C. Some staff have stayed apart from the process.

   D. Communication overload exists during this tranisition phase.

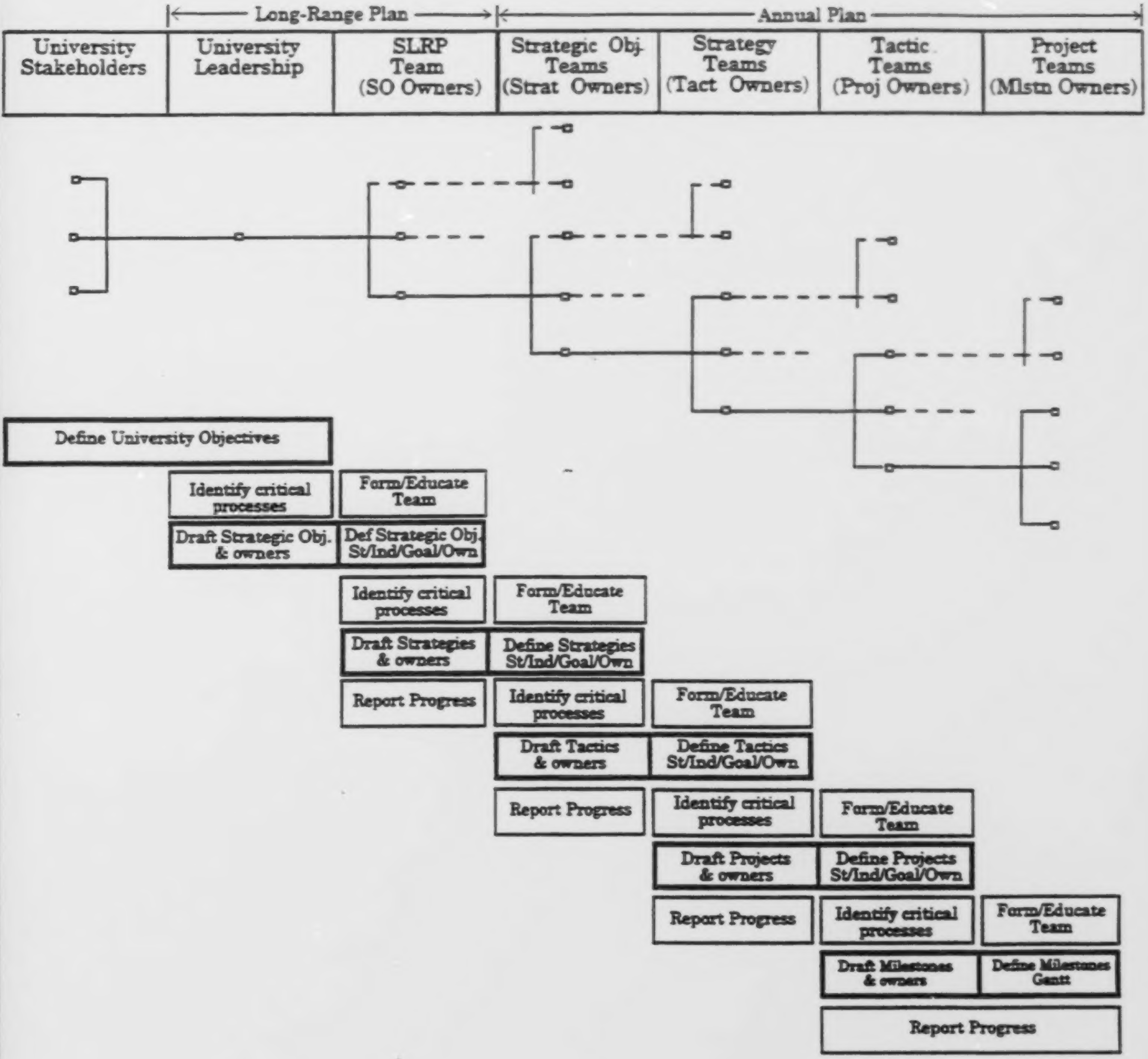
III. Quality Issues

   A. Difficult to adapt private sector models to academic settings.

   B. Participants model values and vision in a changing environment.

   C. MBP tools are difficult to understand and apply.

Plan Development Process



Long-Range Plan
Annual Plan
University Stakeholders
University Leadership
SLRP Team (SO Owners)
Strategic Obj. Teams (Strat Owners)
Strategy Teams (Tact Owners)
Tactic Teams (Proj Owners)
Project Teams (Mlstn Owners)

Define University Objectives

Identify critical processes

Form/Educate Team

Draft Strategic Obj. & owners

Def Strategic Obj. St/Ind/Goal/Own

Identify critical processes

Form/Educate Team

Draft Strategies & owners

Define Strategies St/Ind/Goal/Own

Report Progress

Identify critical processes

Form/Educate Team

Draft Tactics & owners

Define Tactics St/Ind/Goal/Own

Report Progress

Identify critical processes

Form/Educate Team

Draft Projects & owners

Define Projects St/Ind/Goal/Own

Report Progress

Identify critical processes

Form/Educate Team

Draft Milestones & owners

Define Milestones Gantt

Report Progress

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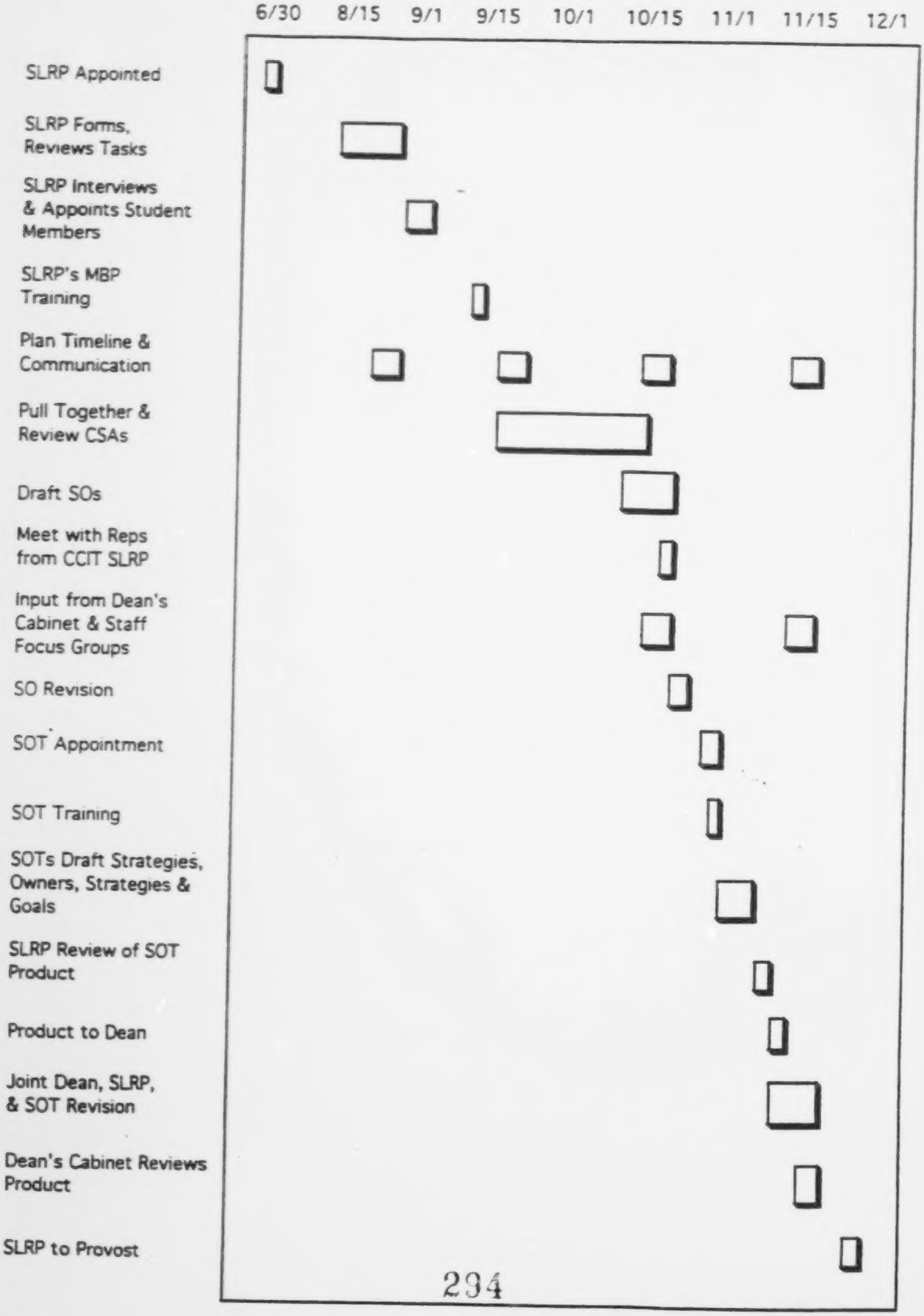
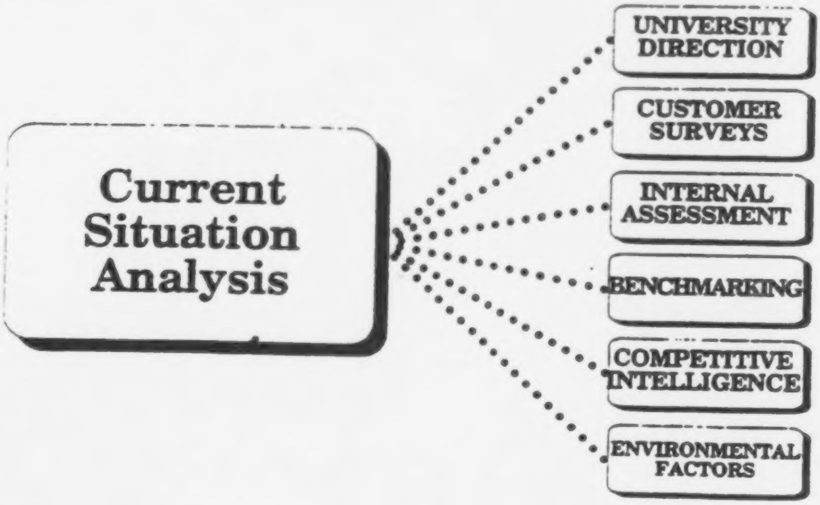
University of Arizona Library 1993 SLRP Project Gantt Chart



Current Situation Analysis

- CSA is the process of collecting, analyzing and reporting information that describes the current situation at the University.

- CSA calls for analysis of databases to feed the SLRP process.



Current Situation Analysis

UNIVERSITY DIRECTION

CUSTOMER SURVEYS

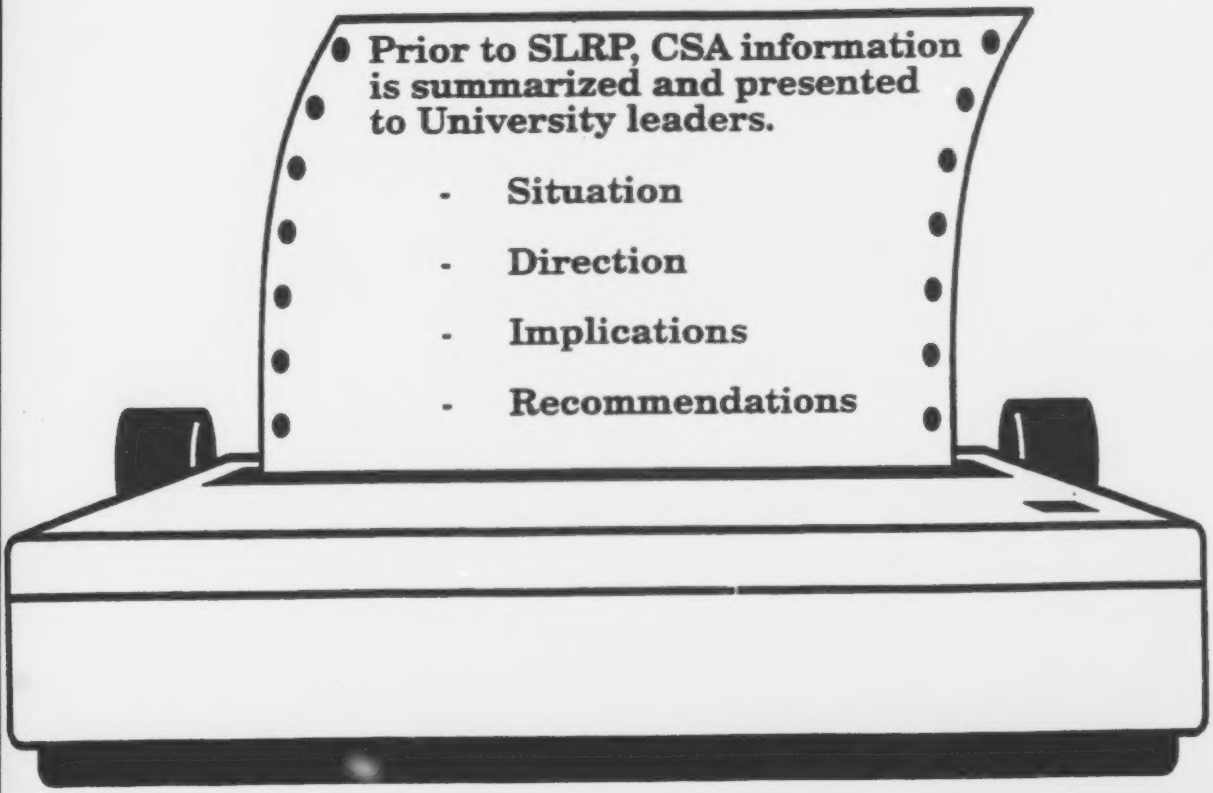
INTERNAL ASSESSMENT

BENCHMARKING

COMPETITIVE INTELLIGENCE

ENVIRONMENTAL FACTORS

Summarize Current Situation Analysis Information



Prior to SLRP, CSA information is summarized and presented to University leaders.

- Situation
- Direction
- Implications
- Recommendations

9

Environmental Factors

The process of collecting and analyzing key local, national and world trends that will influence our decisions.

*****

- **Educational trends**
- **Economic trends**
- **Demographic trends**
- **Environmental trends**
- **Societal trends**
- **Trends in legal decisions**
- **Others**

Guidelines For Strategic Objectives

Identify the major objectives or focus areas required to achieve the university objective.

- Focus each objective on a single issue.
- Define the scope of each objective.
- Each objective should have a measurable indicator.
- Each objective should have a desired future state (goal).
- Each objective should have an owner.

If we don't do this strategic objective, can we still accomplish the university objective?

If all strategic objectives are met, will the university objective be met?

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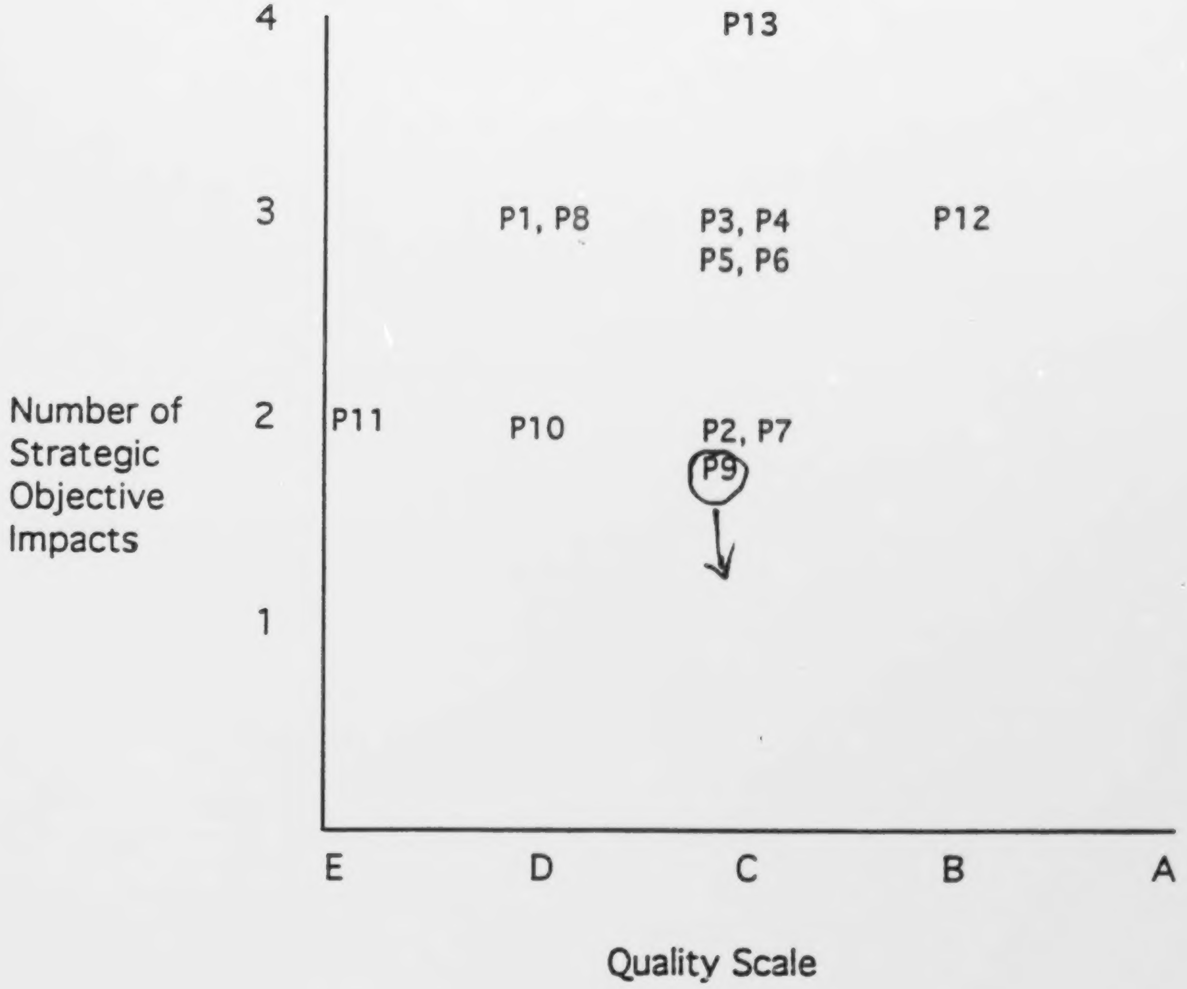
CRITICAL PROCESSES



Identify Critical Processes

Why? ...

"Everything is accomplished through processes"

- **Processes are critical to accomplishing our strategic objectives.**
- **Cross-functional dependencies of processes must be understood.**
- **The capability of our producing a desired result is based on the capabilities of our processes.**

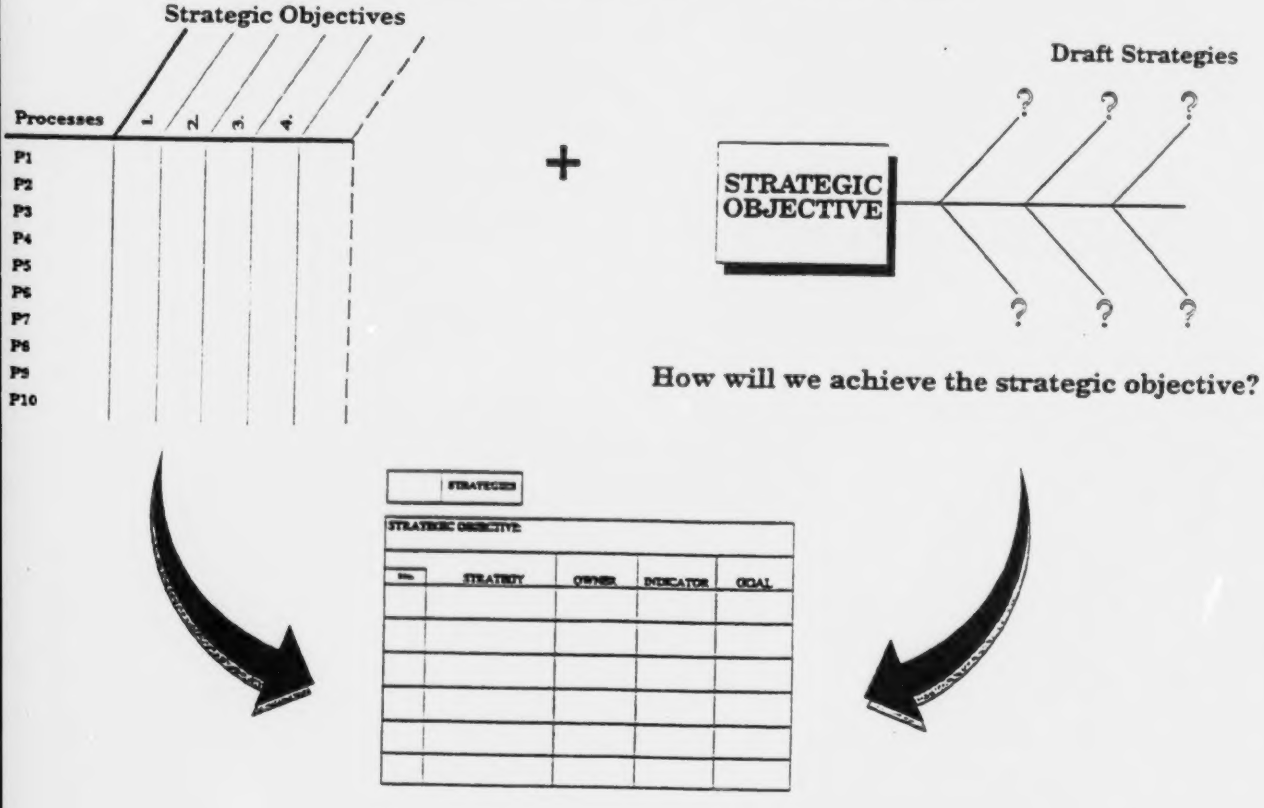
Guidelines To Help Identify Critical Processes

- **What processes are vital to the success of the organization?**
- **What processes make the greatest contributions to achieving the organization's strategic objectives?**
- **What are recurring problems that impede the organization from being successful?**
- **What are the major consumers of resources (materials, capital, space, personnel, etc.)?**
- **What processes have a direct internal or external customer interface?**
- **What processes have the most non-value added activities?**

CRITICAL PROCESSES

	Strategic Objectives							
			SO 1	SO 2	SO 3	SO 4	Count	Quality
Processes	P1	Collection Maintenance	X	X		X	3	D
	P2	Circulation of Materials	X			X	2	C
	P3	User Education	X	X		X	3	C
	P4	Mediated Services	X	X		X	3	C
	P5	Outreach/Programming/Etc.		X	X	X	3	C
	P6	IRD/P	X		X	X	3	C
	P7	Acquiring/Ordering Info.	X		X		2	C
	P8	Document Delivery	X		X	X	3	D
	P9	Material Ck-In/Record Creation	X				1	C
	P10	OPAC Database Management	X	X			2	D
	P11	Knowledge Management	X		X		2	E
	P12	Access to External Databases	X	X	X		3	B
	P13	Computer Systems/Interfaces	X	X	X	X	4	C

raft Strategies Based On Strategic Objectives And Their Critical Processes



Strategic Objectives

Processes

1\.
2\.
3\.
4\.

P1
P2
P3
P4
P5
P6
P7
P8
P9
P10

+

Draft Strategies

STRATEGIC OBJECTIVE

?
?
?
?
?
?

How will we achieve the strategic objective?

STRATEGIES

STRATEGIC OBJECTIVE:

STRATEGY
OWNER
INDICATOR
GOAL

Guidelines For Drafting Strategies

1. Identify people or groups who should be involved in the strategy development meetings for each strategic objective.
2. Download information:
    - CSA data
    - Requirements
    - Hinge factors
3. Understand cross-objective alignment of all activities -- reduce redundancy or holes.
4. Identify critical processes that need attention.
5. Draft supporting strategies -- do not go beyond a rough draft of the strategies. (*__Note:__* Indicators and goals are not required at this point.)

Draft Strategies

Strategic Objectives

Organization: Library
Plan Year: FY95
Revision Date: 12/01/93

STRATEGIC OBJECTIVE 1:
To ensure effective access to knowledge and information resources that meet the information needs of our customers.

NO.	STRATEGY	*OWNER	INDICATOR	GOAL
1.1	To expedite physical access to collections.		Satisfied customers.	Assessment tools indicate 25% increase in customer satisfaction by 1996.
1.2	To provide effective access through staff-mediated services.		Services meet customer needs	Assessment tools indicate 10% increase in customer satisfaction per year.
1.3	To provide effective access to local and remote resources thorough electronic non-mediated services..		Services meet customer needs	Assessment tools indicate 10% increase in customer satisfaction per year.
1.4	To focus acquisition of information resources, as defined by University priorities, according to user needs.		Allocated resources match programmatic priorities	Annual resource re-allocation.

*Owners have been tentatively identified pending further review

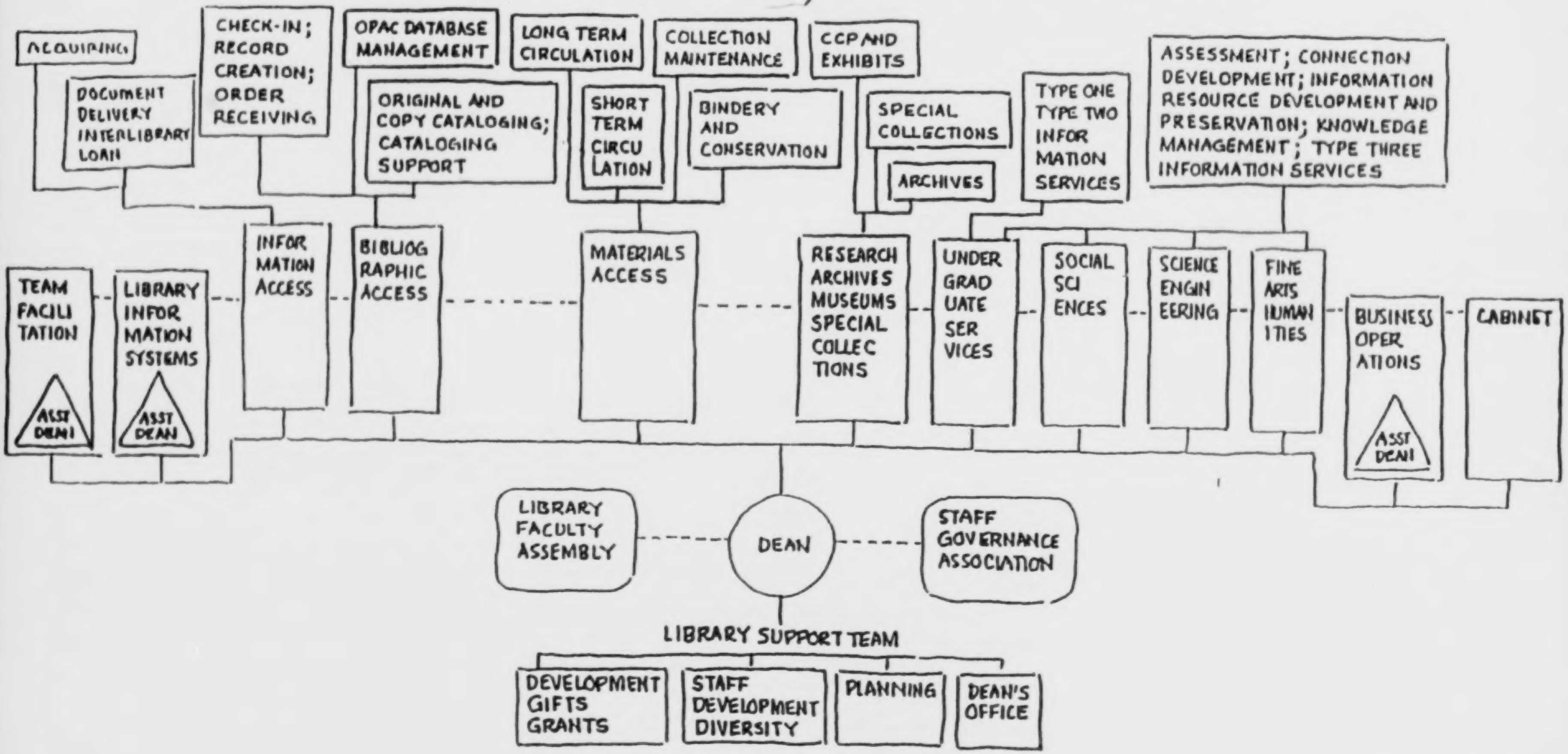
STRATEGIC OBJECTIVE: To ensure effective access to knowledge and information resources that meet the information needs of our customers.

STRATEGY 1.3: To provide effective access to local and remote resources through electronic non-mediated services.

TACTIC 1: Provide and improve electronic non-mediated access to UA library collections.

NO.	PROJECT	OWNER	INDICATOR	GOAL
1. Crit	Standardization, policy making, training for Sabio database and screens. (high impact/easy)	TBA	Number of standards and policies in place.	80% of priority standards, policies and training modules in place.
2. Crit	Purchase catalog records for more current receipts (e.g. BNA, AMIGOS, MARCHIVE) (high impact/hard)	TBA	Number of catalog and processed new cataloged records vs. in house cataloging.	BNA records for majority of current receipts with LC copy. 6000 titles cataloged and processed by AMIGOS fiscal '95. Most titles ready for user within an average of 1 to 4 weeks from receipt.
3. Crit	Location changes completed for Reference areas. (Media, Documents, Maps, Arizona, and UN)	TBA	Items in old reference areas.	Reference Mission Team lists completed.
4. Crit.	Continue initiative to eliminate duplicate records. (duplicate barcodes, OCLC no.,) (high impact/easy)	TBA	Number of duplicate records	100% elimination of duplicate barcode and OCLC no. lists. All these records will be accurate for users.
5. Crit	Improve accuracy of Sabio records for Government Docs., Maps, Oriental Studies, Reference areas, and Special Collections. (high impact/hard)	TBA	% of records upgraded or corrected.	Users can interpret records accurately without mediation. Reference relocations completed. Arizona/International material moved for Reference.

Library Organization


ACQUIRING
DOCUMENT DELIVERY INTERLIBRARY LOAN
CHECK-IN; RECORD CREATION; ORDER RECEIVING
OPAC DATABASE MANAGEMENT
ORIGINAL AND COPY CATALOGING; CATALOGING SUPPORT
LONG TERM CIRCULATION
SHORT TERM CIRCULATION
COLLECTION MAINTENANCE
BINDERY AND CONSERVATION
CCP AND EXHIBITS
SPECIAL COLLECTIONS
ARCHIVES
TYPE ONE TYPE TWO INFORMATION SERVICES
ASSESSMENT; CONNECTION DEVELOPMENT; INFORMATION RESOURCE DEVELOPMENT AND PRESERVATION; KNOWLEDGE MANAGEMENT; TYPE THREE INFORMATION SERVICES
TEAM FACILITATION
ASST DEAN
LIBRARY INFORMATION SYSTEMS
ASST DEAN
INFORMATION ACCESS
BIBLIOGRAPHIC ACCESS
MATERIALS ACCESS
RESEARCH ARCHIVES MUSEUMS SPECIAL COLLECTIONS
UNDERGRADUATE SERVICES
SOCIAL SCIENCES
SCIENCE ENGINEERING
FINE ARTS HUMANITIES
BUSINESS OPERATIONS
ASST DEAN
CABINET
LIBRARY FACULTY ASSEMBLY
DEAN
STAFF GOVERNANCE ASSOCIATION
LIBRARY SUPPORT TEAM
DEVELOPMENT GIFTS GRANTS
STAFF DEVELOPMENT DIVERSITY
PLANNING
DEAN'S OFFICE

Barb Nielsen 10.7.93

THE UNIVERSITY OF ARIZONA
TUCSON, ARIZONA 85721

UNIVERSITY OF ARIZONA LIBRARY

MISSION STATEMENT

The Library insures access to knowledge and information resources and educates students and faculty in the most effective methods of identifying and acquiring information resources to meet their curricular and research needs. The Library provides leadership in the development of information policy for the campus and plays a key role in instruction, knowledge development, creativity, cultural transmission, and the scholarly communication process.

The Library provides an environment for free and open inquiry, fostering the interpretation, integration, and application of knowledge in all fields. It strives to create and support a pluralistic, highly qualified, and flexible library faculty and staff committed to excellent service, continuous learning, and the values of the education experience.

THE UNIVERSITY OF ARIZONA
TUCSON, ARIZONA 85721

UNIVERSITY OF ARIZONA LIBRARY

VISION STATEMENT FOR THE YEAR 1998

IN 1998 The University of Arizona Library is a primary gateway to information resources and is fully integrated into the teaching and research functions of the University. The Library will not necessarily own all materials needed, but will have electronic access systems in place to acquire copies of books, articles, etc., needed by our users. An infrastructure of technology, facilities, and personal assistance supports a wide variety of information gathering behaviors to meet the needs of diverse users whose purpose, subject knowledge, and research sophistication vary widely. The collections of the library continue to grow and remain physically accessible to users. Locally held materials and items obtained from remote sources are requested by and delivered to patrons at service points, offices and laboratories on and off campus. Users have direct access to state, regional, national and international library catalogs, and agreements for electronic delivery of materials are in place.

The core of user activity is in the information center, a large, open access service area that houses service points for research assistance, document delivery, multi-use computer workstations, and group and individual study areas. The information center provides access to local and national bibliographic, full-text, and multimedia databases. Users may also prepare texts, send messages, complete self-paced learning modules using the center's workstations. In-depth assistance in utilizing the variety of access tools is available from discipline-oriented service centers in the Library and distributed around campus. Users may request assistance from the subject specialists through an online message system or a video conferencing station.

By 1998, the United States will have a mature information superhighway providing storage and high-speed transferring in text, voice, and graphic formats. This network, created by the National Research and Education Network (NREN), will be essential to the educational needs and research activities of academic institutions. Librarians at the University of Arizona, like their colleagues around the country, will play a dynamic role in creating and accessing this information across national and international networks. Furthermore, librarians will be working closely with colleagues at school, public, and corporate libraries, as well as with persons not directly affiliated with the University. The Library will be recognized for its contribution to economic development of the region and state through its role in a collaborative creation of networks and databases and its provision of critical information in both electronic and print format. The Library will be seen as leading the transition to an Information Society.

In the 1998 library, librarians are involved in teamwork in their primary jobs and have the opportunity to participate in work activity outside their primary work area. Many librarians are members of subject teams. They are full partners in the aggregation, interpretation, dissemination, and the application of knowledge and in the quest for new knowledge. They use their expert knowledge to build and integrate local and national databases, identify source availability, develop local collections, gateway access systems and knowledge management capabilities, and teach students and faculty how to connect directly to needed information. Librarians have established their role on campus as leaders in development of information policy and continue to bring their expertise to bear in local and national forums. They continually assess needs and connect users to appropriate sources housed locally or available remotely. They take responsibility for educating the campus in information policy and economics. They collaborate with researchers in identifying, analyzing, and developing information that transforms and extends human knowledge.

The career staff are experts in library support functions that facilitate access and knowledge. Their teamwork with librarians and other career staff help the dissemination of knowledge as they create and manage data bases, work with vendors and network partners to acquire and deliver information, manage receipt and organization of local collections and provide orientation, information and referral services. Career staff are working at the top of their job classifications and have opportunities to participate in a variety of work activity and to gain in experience and expertise.

In 1998, the Center for Creative Photography, Special Collections, and Southwest Folklore Center will share a common role in collecting, preserving, and providing access to unique historical and artistic records of human accomplishment and creativity. These units have a responsibility to educate a national and international community about their collections through creative and innovative programming, seminars, exhibitions, and publications. The Center for Creative Photography will maintain its position as one of the world's great repositories for archives of contemporary creative photography with an active commitment to research, exhibition, preservation, publication, and education. Special Collections and the Southwest Folklore Center will build on decades of commitment to the systematic collection of historical and contemporary research materials of the Southwest/Borderlands and remain the most significant research facility in the region. By 1998 access will have been created for printed, photograhpic, manuscript as well as audio and visual resources using technological developments available in the Library's online environment.

Political and technological developments that must occur for this vision to be supported include: the implementation of sophisticated local and national automated systems, the development of a national broadband network that facilitates access, agreements on strategies for preservation of research library collections, and local technical support from a team of specialists from the library and the computing center. The information center concept will be the result of a partnership between the library, the faculty, the students, the computing center and the administration.

**Special Note: Throughout this document, the term "librarian" refers to all administrative and academic professional employees of the University Library, who may and do represent a variety of professions in order to support its mission, meet its goals, provide services, and care for its collections.

(Adapted from Jurow and Webster in "Building New Futures for Research Libraries" in Creative Planning for Library Administration: Leadership for the Future, N.Y., Haworth Press, 1991.)

THE UNIVERSITY OF ARIZONA
TUCSON, ARIZONA 85721

UNIVERSITY OF ARIZONA LIBRARY

ASPIRATION STATEMENT

The U of A Library has achieved excellence in its building of comprehensive research collections, its dedication to high quality service and its commitment to affirmative action and staff development. On this solid foundation we want to design an organization in which we can continue to learn, to assess our environment and to integrate new strategies into our work, thus and constantly enhancing our ability to achieve our mission.

We want to become a learning organization where every staff member has an opportunity to grow and contribute, is listened to, respected, treated fairly and can participate in the teamwork it will take to be successful.

We want staff to take satisfaction from accomplishments and friendships, balanced personal and professional lives, and to have fun in our endeavors.

Types of Leadership Necessary to Make Our Aspirations a Reality:

Behaviors: Leadership that exemplifies directness, openness to influence, commitment to the success of others, willingness to acknowledge our own contributions to problems, personal accountability, team learning and trust. Not only must we model those behaviors, but we must coach others to adopt them.

Vision: Leadership that encourages personal vision and encourages commitment to a shared vision of the future. By understanding the need to connect, collaborate, dialogue, listen and co-create the vision for the future, we will be able to adapt and change the organization as we change and grow.

Diversity: Leadership that values a diverse workforce (age, ethnic group, gender, sexual orientation, differently abled, religion) at all levels of the organization, diversity in experience, and a diversity in perspectives. We are committed to taking full advantage of the rich backgrounds and abilities of our staff and to promote greater diversity in positions of influence. Differing points of view will be sought; diversity will be valued and honesty rewarded, not suppressed.

Recognition: Leadership that provides greater recognition, both financial and personal, for individuals and teams that contribute to our success and model our values. Recognition must be given to all who contribute: those who create and innovate, those who model and teach, and those who continually support the day-to-day activities that result in helping achieve our mission.

Fair and Ethical Management Practices: Leadership that epitomizes fairness and ethical practices. Expectations for ethical conduct must be clear and standards enforced throughout the organization. No one should be exploited or harassed. All employee rights should be honored.

Communication: Leadership that shares all relevant information with teams and individuals and is able to articulate the mission, goals, policies and guiding principles of the organization. Staff must know what is expected of them, must be consulted and listened to, and must receive timely and honest feedback on their performance and career aspirations.

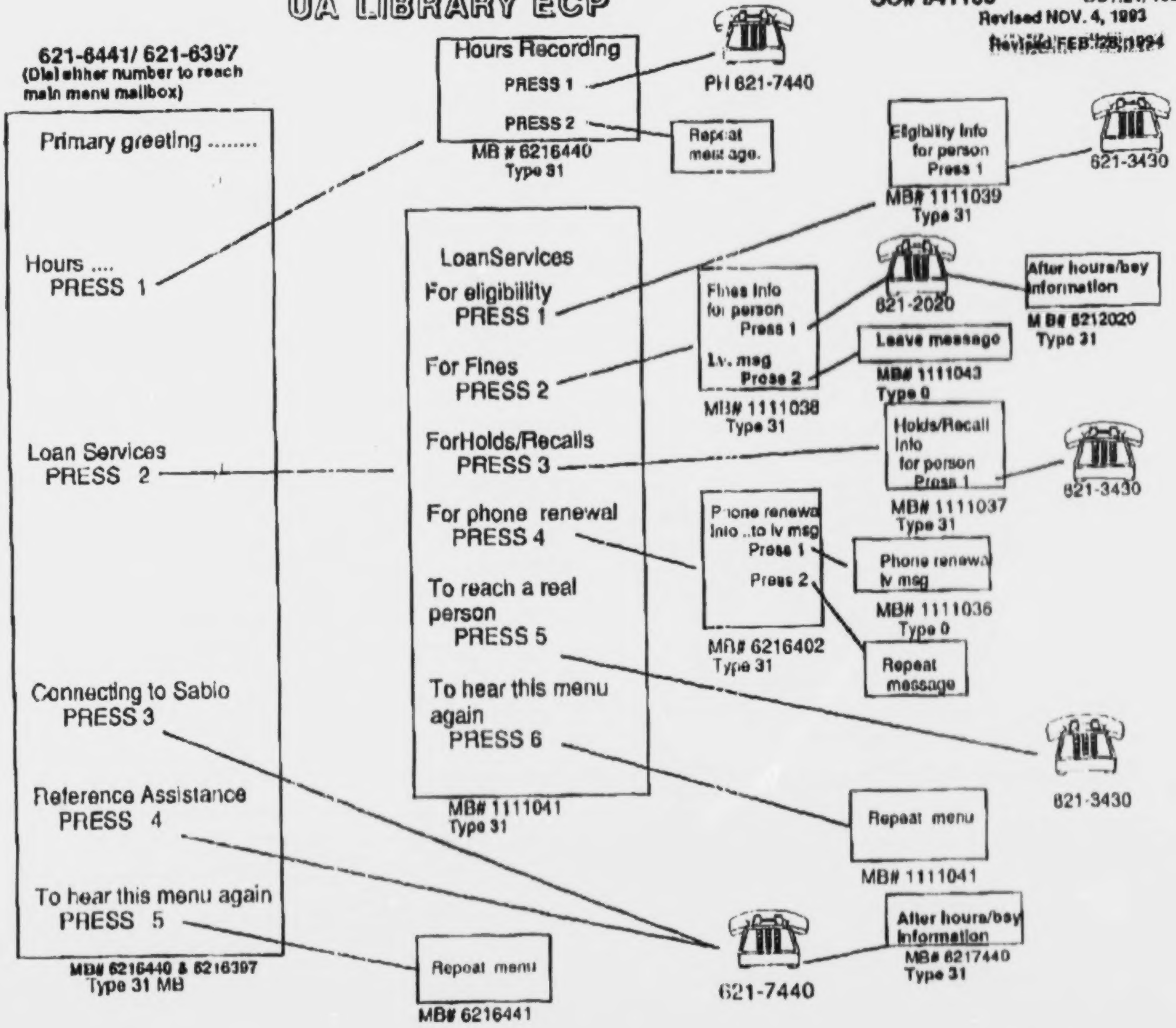
Empowerment: Leadership that increases the authority and responsibility of those closest to the creation of access systems and who teach, assist and collaborate with faculty and students. Innovation and risk taking are an important element to achieving the shared vision. By actively pushing responsibility, trust and recognition to those within the organization we can all grow, learn and pool our collective capabilities to achieve our mission. Innovation and risk taking are an important element to achieving the shared vision.

Learning Environment: Leadership that values an individual's capability to learn, grow and become able to contribute to the achievement of the shared vision at higher and higher levels of competency and which provides an environment that supports this growth, eliminates the need for layoffs, and supports appropriate pay levels.

(Modelled after the Levi-Strauss & Co. Mission and Aspiration Statement in Learning to Lead: The Art of Transforming Managers into Leaders by Jay A. Conger, Josey-Bass, 1992, p. 206)

UA LIBRARY ECP

SO# 941108
OCT.24, 1993
Revised NOV. 4, 1993
Revised FEB 28, 1994


621-6441/ 621-6397
(Dial either number to reach main menu mailbox)
Primary greeting ....
Hours ....
PRESS 1
Loan Services
PRESS 2
Connecting to Sabio
PRESS 3
Reference Assistance
PRESS 4
To hear this menu again
PRESS 5
MB# 6216440 & 6216397
Type 31 MB
Hours Recording
PRESS 1
PRESS 2
MB # 6216440
Type 31
PH 621-7440
Repeat message.
LoanServices
For eligibility
PRESS 1
For Fines
PRESS 2
ForHolds/Recalls
PRESS 3
For phone renewal
PRESS 4
To reach a real person
PRESS 5
To hear this menu again
PRESS 6
MB# 1111041
Type 31
Eligibility Info
for person
Press 1
MB# 1111039
Type 31
621-3430
Fines Info
for person
Press 1
Lv. msg
Press 2
MB# 1111038
Type 31
621-2020
After hours/bey information
M B# 6212020
Type 31
Leave message
MB# 1111043
Type 0
Holds/Recall Info
for person
Press 1
MB# 1111037
Type 31
621-3430
Phone renewa Info ..to lv msg
Press 1
Press 2
MB# 6216402
Type 31
Phone renewa lv msg
MB# 1111036
Type 0
Repeat message
621-3430
Repeat menu
MB# 1111041
Repeat menu
MB# 6216441
621-7440
After hours/bey information
MB# 6217440
Type 31

UNDERGRADUATE SERVICES TEAM

MARCH 15, 1994

HIGHLIGHTS

Secretary (Douglas Starkey) on board

New people at Type 2 desks; completed phase 1 training

Type 2 desk self scheduling for March went fairly smooth; took 1/4th the time compared to previous method

New Type 1 desk trainees in place; schedule complete for Spring semester

Graphics (Marty) in new temporary location, SEL 411

Task of SABIO/CD-ROM printer/terminal troubleshooting successfully transferred to Photocopy

Started phone renewal in Phone Information System and added messaging box for fines questions

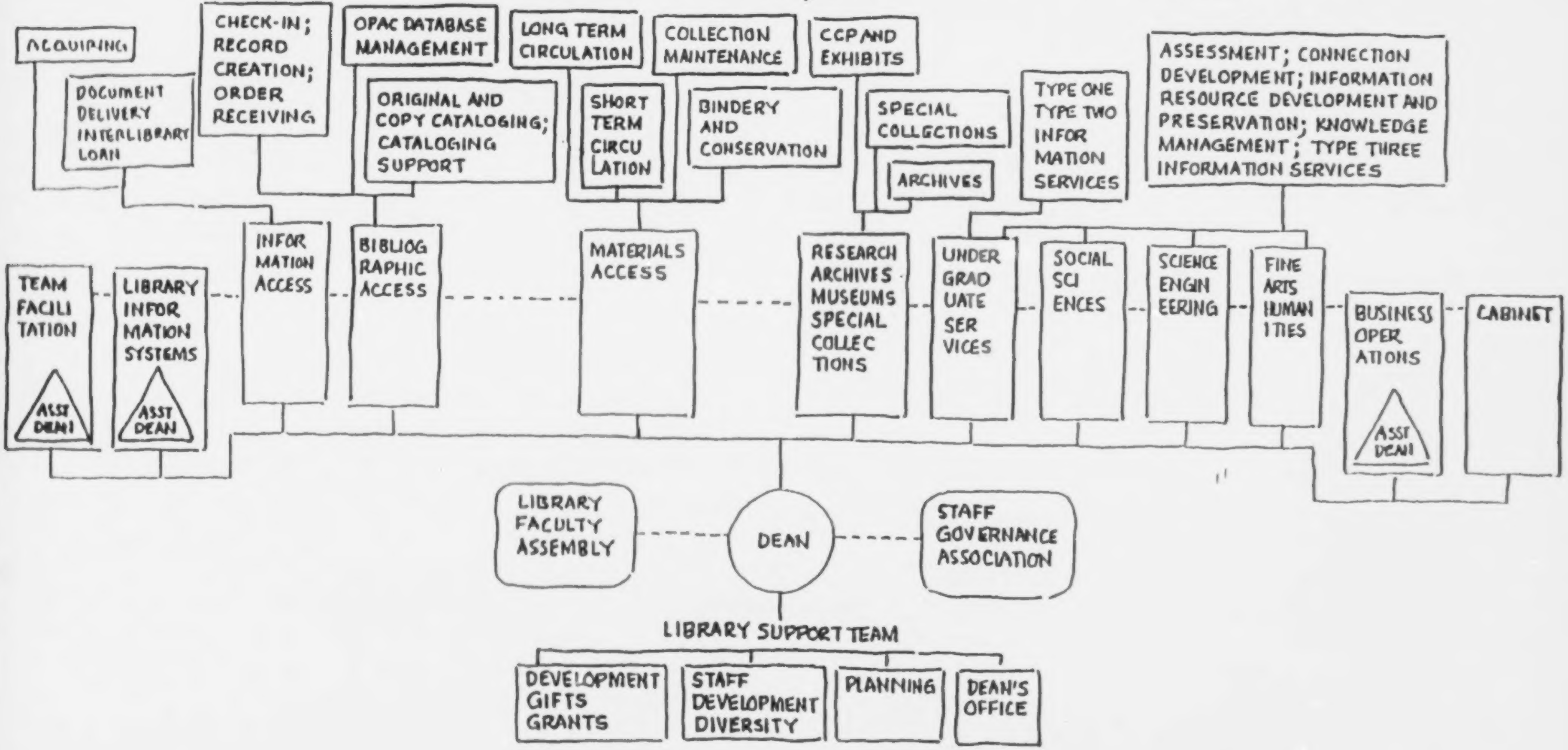
Old work tasks being transferred to MAT & BAT---- progress made!

UGS Team members' abstract accepted for presentation as paper at international TQM conference

LOWLIGHTS	PLANS
Graphics equipment does not yet meet library needs	Preparing a needs list for Graphics
Type 2 desk schedule: still not able to get new trainees with buddies; schedules for all staff complex & difficult	Suggesting some changes in process (e-mail message sent out) to accommodate more buddy-to-trainee negotiation
Substitute list for Type 1 service not working	
Limited attendance at SABIO workshops; difficulty getting presenters for some sessions	Increase publicity for SABIO workshops
Inter-team communication challenges concerning Type 2 desk scheduling	Recommunicate process to clarify

ISSUES	
Coordination of UGS activities affecting multi teams presents constant challenges in communication	Joint Integrative Services Teams meeting scheduled April 12, 3-5 pm
Struggling as a team; feel need for team building	Team building March 10; more sessions planned
*Is now the right time to start new initiatives?	Assess UGS initiatives against library priorities & suggest projects/new initiatives to Stratactic Teams

Library Organization


ACQUIRING
DOCUMENT DELIVERY INTERLIBRARY LOAN
CHECK-IN; RECORD CREATION; ORDER RECEIVING
OPAC DATABASE MANAGEMENT
ORIGINAL AND COPY CATALOGING; CATALOGING SUPPORT
LONG TERM CIRCULATION
SHORT TERM CIRCULATION
COLLECTION MAINTENANCE
BINDERY AND CONSERVATION
CCP AND EXHIBITS
SPECIAL COLLECTIONS
ARCHIVES
TYPE ONE TYPE TWO INFORMATION SERVICES
ASSESSMENT; CONNECTION DEVELOPMENT; INFORMATION RESOURCE DEVELOPMENT AND PRESERVATION; KNOWLEDGE MANAGEMENT; TYPE THREE INFORMATION SERVICES
TEAM FACILITATION
ASST DEAN
LIBRARY INFORMATION SYSTEMS
ASST DEAN
INFORMATION ACCESS
BIBLIOGRAPHIC ACCESS
MATERIALS ACCESS
RESEARCH ARCHIVES MUSEUMS SPECIAL COLLECTIONS
UNDERGRADUATE SERVICES
SOCIAL SCIENCES
SCIENCE ENGINEERING
FINE ARTS HUMANITIES
BUSINESS OPERATIONS
ASST DEAN
CABINET
LIBRARY FACULTY ASSEMBLY
DEAN
STAFF GOVERNANCE ASSOCIATION
LIBRARY SUPPORT TEAM
DEVELOPMENT GIFTS GRANTS
STAFF DEVELOPMENT DIVERSITY
PLANNING
DEAN'S OFFICE

Barb Nielsen 10.7.93

Jean Thomason
Samford University Library
Friday, April 22, 9am-10:30am

What Total Quality Management is doing for our Library

I. Library reorganization

- *A. Reasons*
- *B. Process*
- *C. Choosing positions*
- *D. Results*
- *E. Evaluation*

II. Automation

III. Building addition

IV. Improvements to Service

V. Assessment

- *A. Acquisitions Process*
- *B. Customer Input*
- *C. Gift Process*

VI. Library staff as a team

Harwell G. Davis Library

Samford University
BIRMINGHAM, ALABAMA

Steps to Reorganization

November 1990	Evaluate Goals and Objectives
December 1990	Submit Suggestions for Reorganization
January/February 1991	Discuss and Plan Reorganization
	Choose an Organizational Structure
February 15, 1991	Submit Recommended Reorganization to the Provost
March 1, 1991	Begin Implementation of the Reorganization
	Choose positions
June 1, 1991	New Organization in Place

Why Reorganization?

☑ Current organization was approximately 25 years old.

☑ Reference and circulation functions combined were not giving the best service.

☑ Many similar functions were performed in several areas.

☑ Personnel needs in Technical Services would change when the retrospective conversion project was complete in May 1991.

☑ Reader Services Department was understaffed.

☑ Department heads were spending more time in "library wide" administration than department responsibilities.

☑ Vacancy created when one department head moved to a new position.

☑ Library Staff had a morale problem.

PROBLEM:

Library Reorganization Is Needed

Objectives

- Improve Service
- Reduce Duplication of Processes
- Better Define the Processes
- Give Library Staff More Ownership of Processes

What do you think?

LIBRARY STAFF WAS SURVEYED

RESPONSES: 11 total
8 individual
3 from groups

SUGGESTIONS WHICH WERE NUMERICALLY HIGH:

9 Create an Office Manager Position

6 Separate Reference and Circulation functions

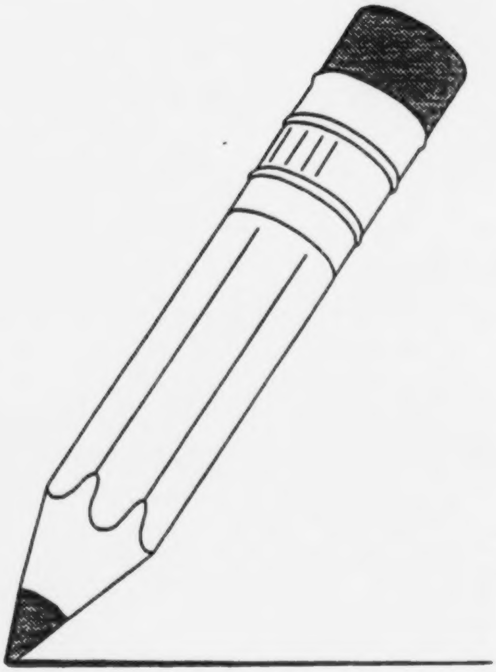
6 Move Special Collection processing to Technical Services

6 Need an Assistant Librarian

Guidelines

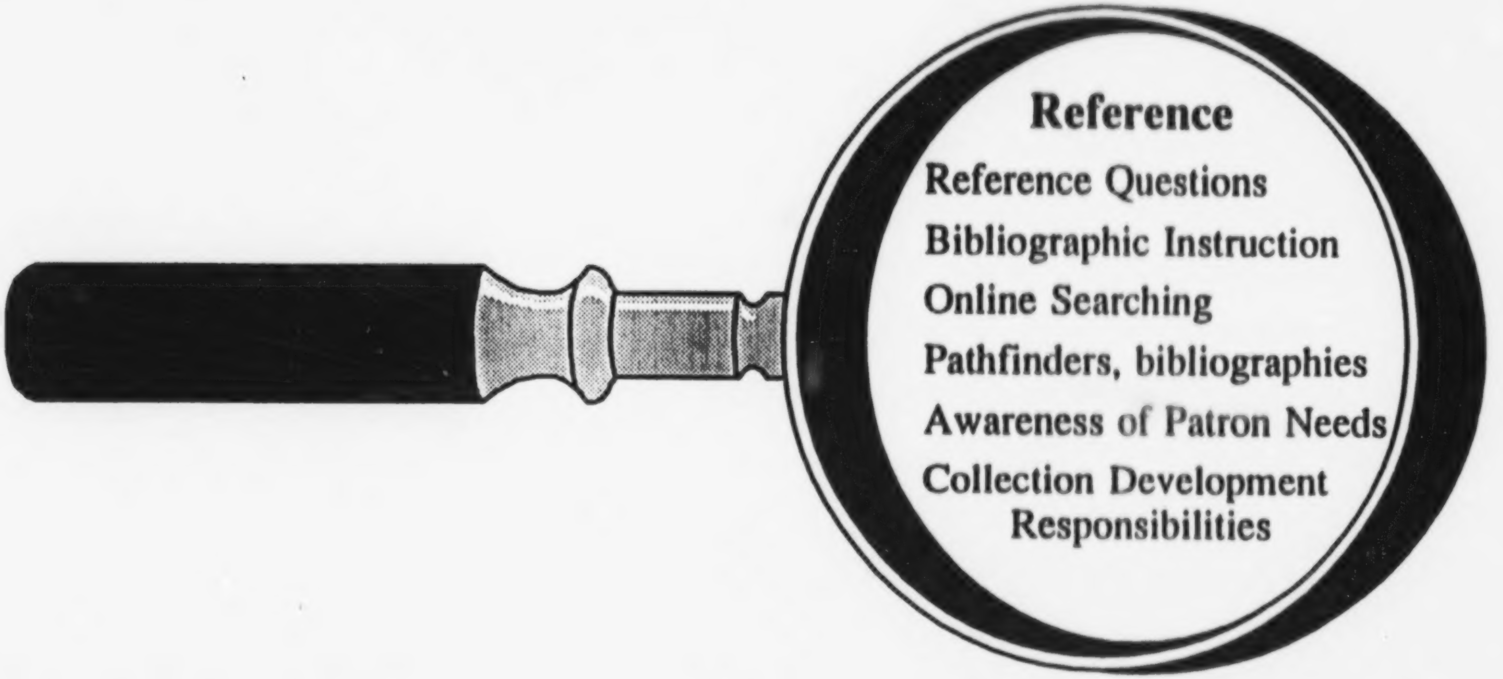
For

Discussion



1. Back everything up with facts
2. Avoid "feelings" and emotional reasons
3. Strive to reach a consensus
4. If consensus not reached, the Director has final authority

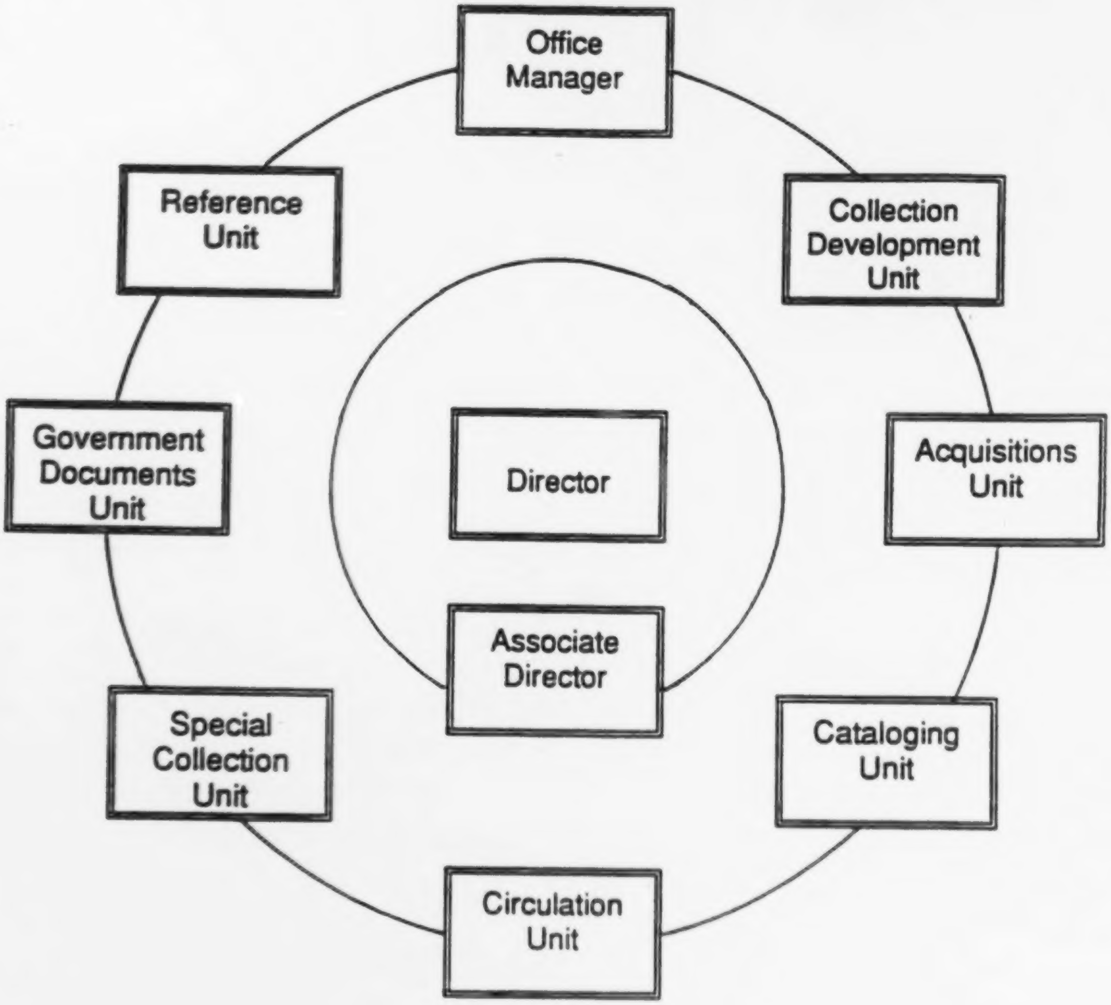
EXAMINING THE FUNCTIONS



Reference

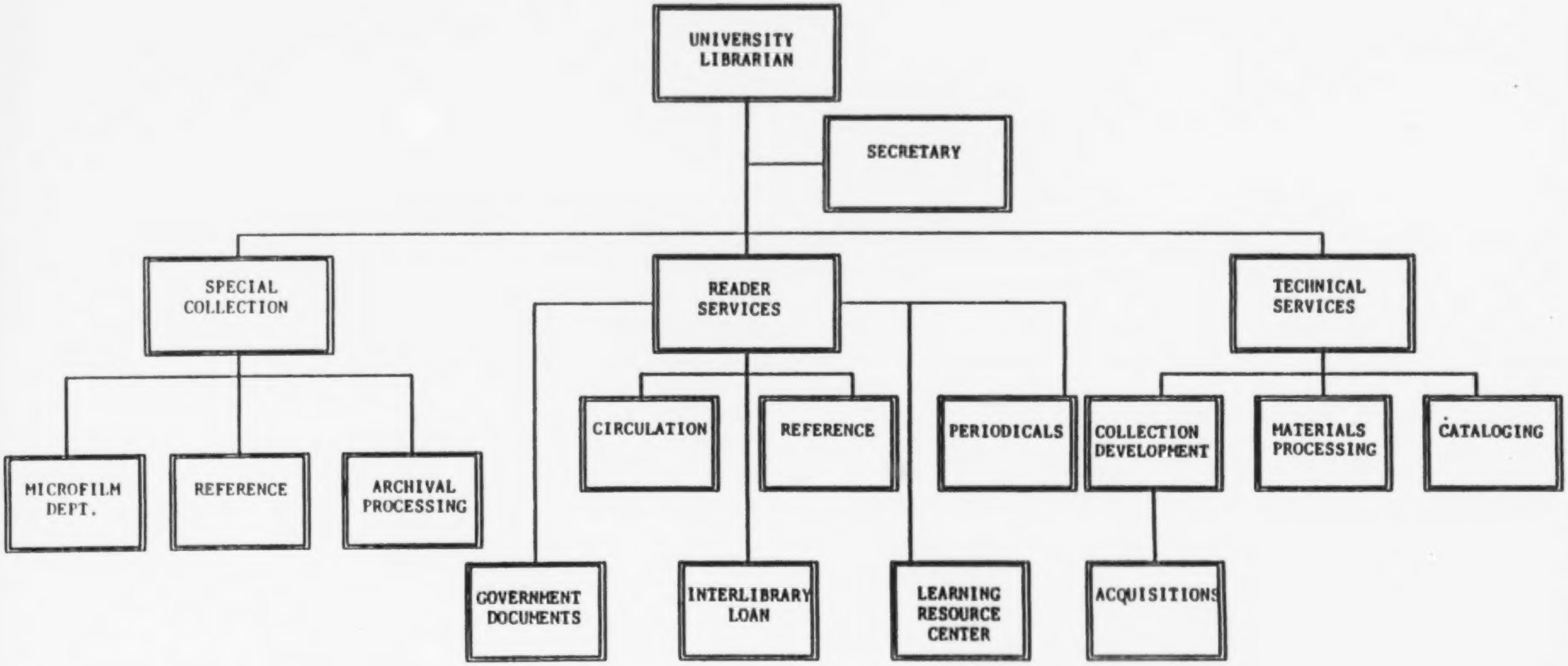
Reference Questions
Bibliographic Instruction
Online Searching
Pathfinders, bibliographies
Awareness of Patron Needs
Collection Development Responsibilities

Organizational Chart
Harwell G. Davis Library
Samford University


Office Manager
Reference Unit
Collection Development Unit
Government Documents Unit
Director
Acquisitions Unit
Associate Director
Special Collection Unit
Cataloging Unit
Circulation Unit

Effective Date: June 1, 1991

Library Organization Chart



UNIVERSITY LIBRARIAN
SECRETARY
SPECIAL COLLECTION
READER SERVICES
TECHNICAL SERVICES
MICROFILM DEPT.
REFERENCE
ARCHIVAL PROCESSING
CIRCULATION
REFERENCE
PERIODICALS
GOVERNMENT DOCUMENTS
INTERLIBRARY LOAN
LEARNING RESOURCE CENTER
COLLECTION DEVELOPMENT
ACQUISITIONS
MATERIALS PROCESSING
CATALOGING

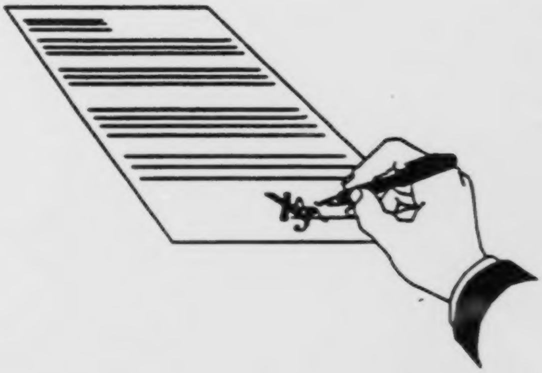
	DRAFT		FINAL	
AREA	**PROFESSIONAL**	**PARAPROFESSIONAL**	**PROFESSIONAL**	**PARAPROFESSIONAL**
Director	1		1	
Associate Director	1		1	
Office Manager		2		1
Circulation		5		4
Government Documents	1	1	1	1
Reference	3		3	
ILL/RRS		1		1
Acquisitions		3		2 1/2
Cataloging	2	4	2	3 1/2
Special Collection	2	4	1	5
Collection Development	1	1/2	1	
TOTALS	11	20 1/2	10	18

I would like the position:

1.______________________

2.______________________

3.______________________



Position Changes

Professional

1 person - no change

4 people - different position

5 people - revised position

Support Staff

9 people - no change

8 people - different position

2 people - revised position

Results of Reorganization

★ INCREASED SERVICE

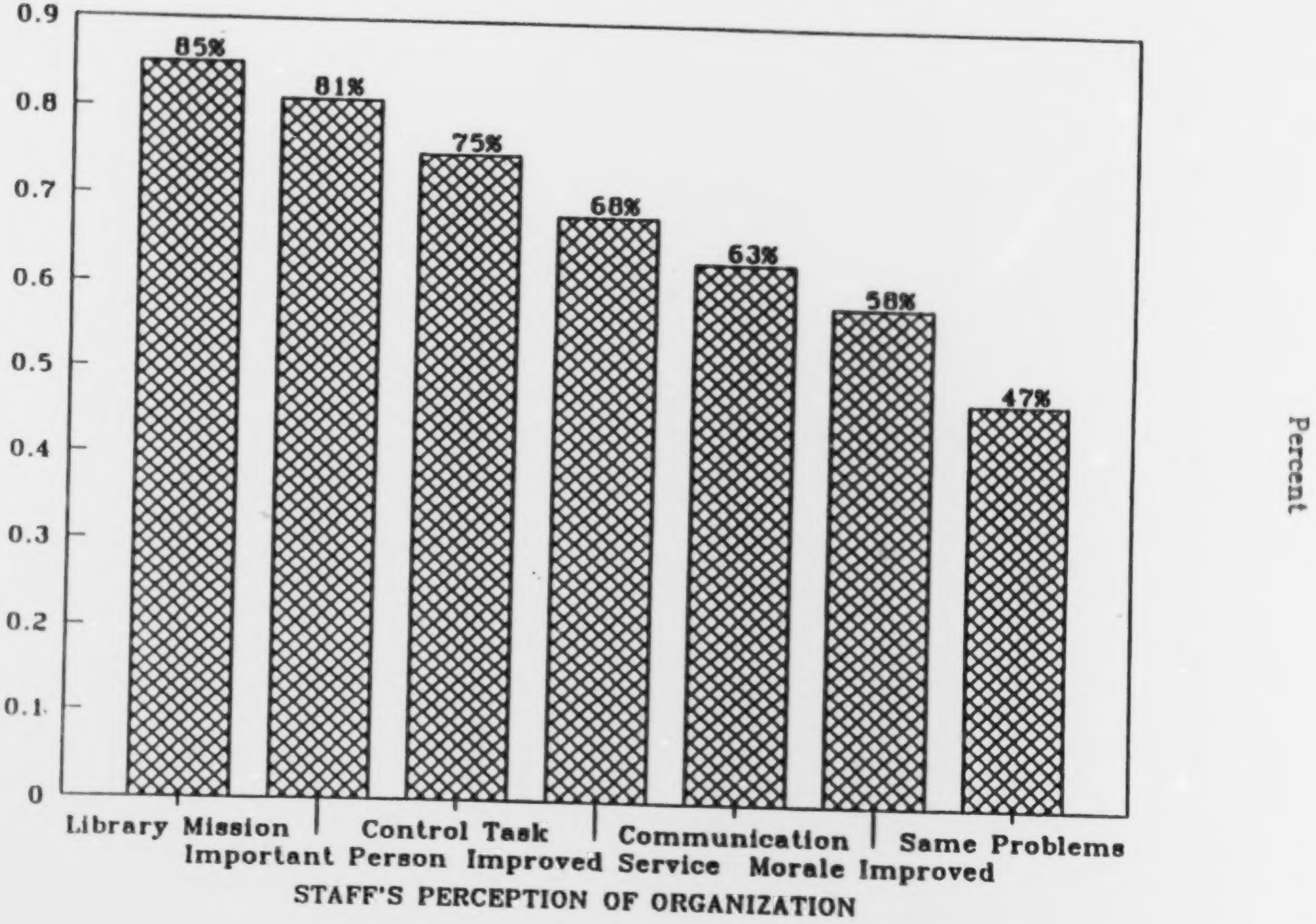
- Professional Reference Hours by 21%
- Paraprofessional Circulation Hours by 64.3%

★ IMPROVED SERVICE

- Separated Reference and Circulation Units
- Combined Interlibrary Loan and Resource Retrieval Service

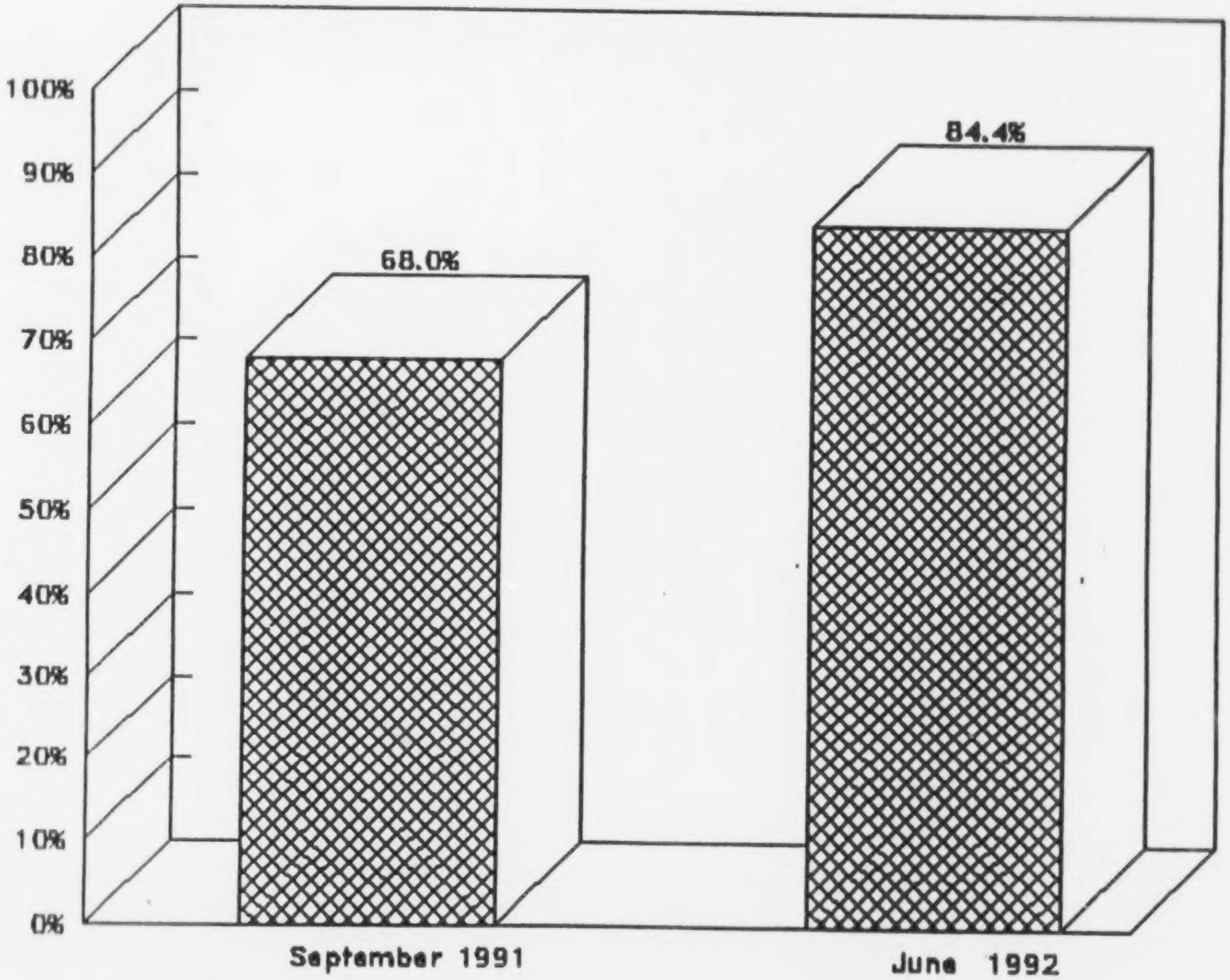
★ IMPROVED PROCESSES

- Handled all order processes in Acquisitions
- Created Office Manager position
- Provided work area in Special Collection for manuscript processing
- Reduced professional staff by 1, increase support staff by 3
- Establish position of Associate Director

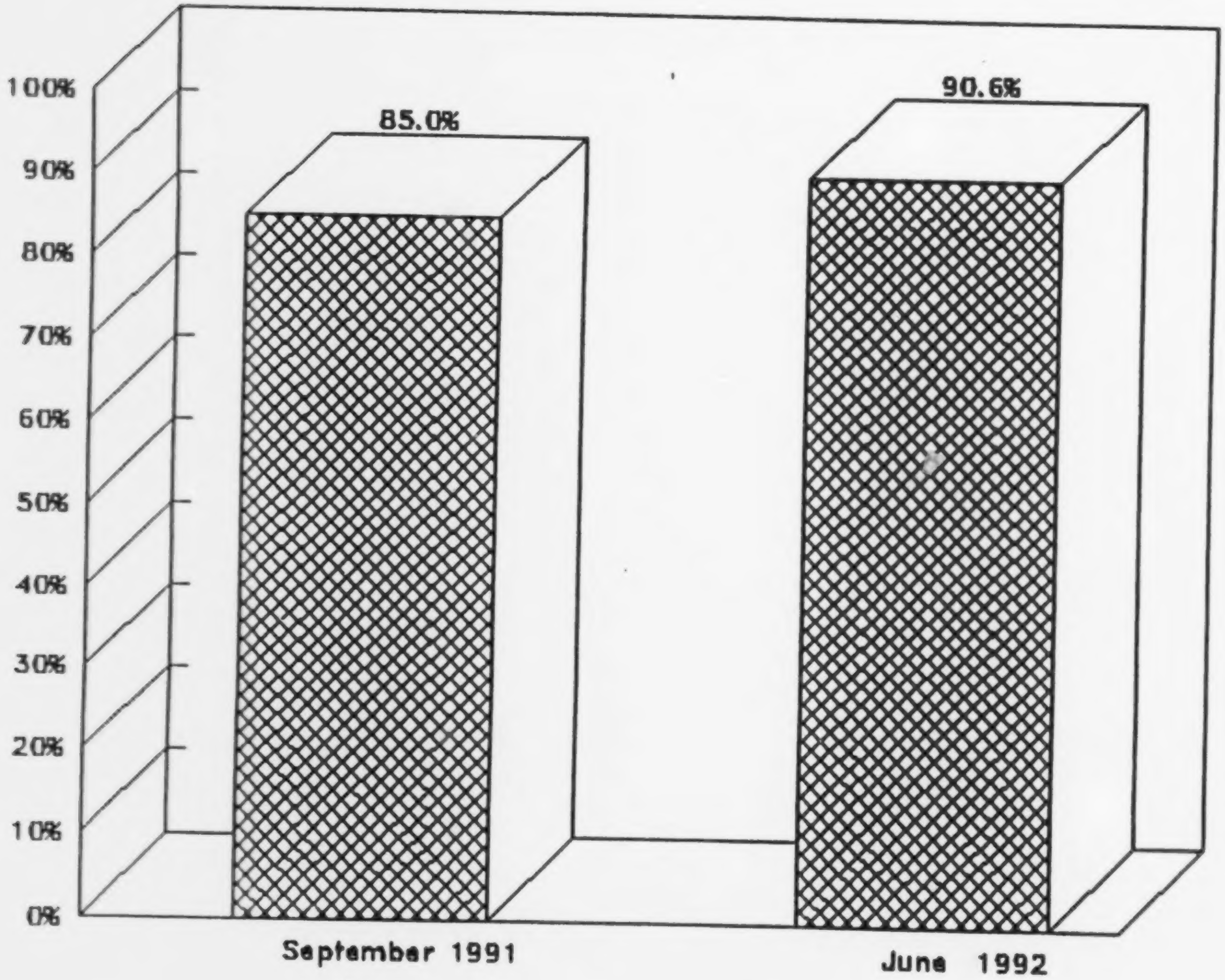


Evaluation of Organization

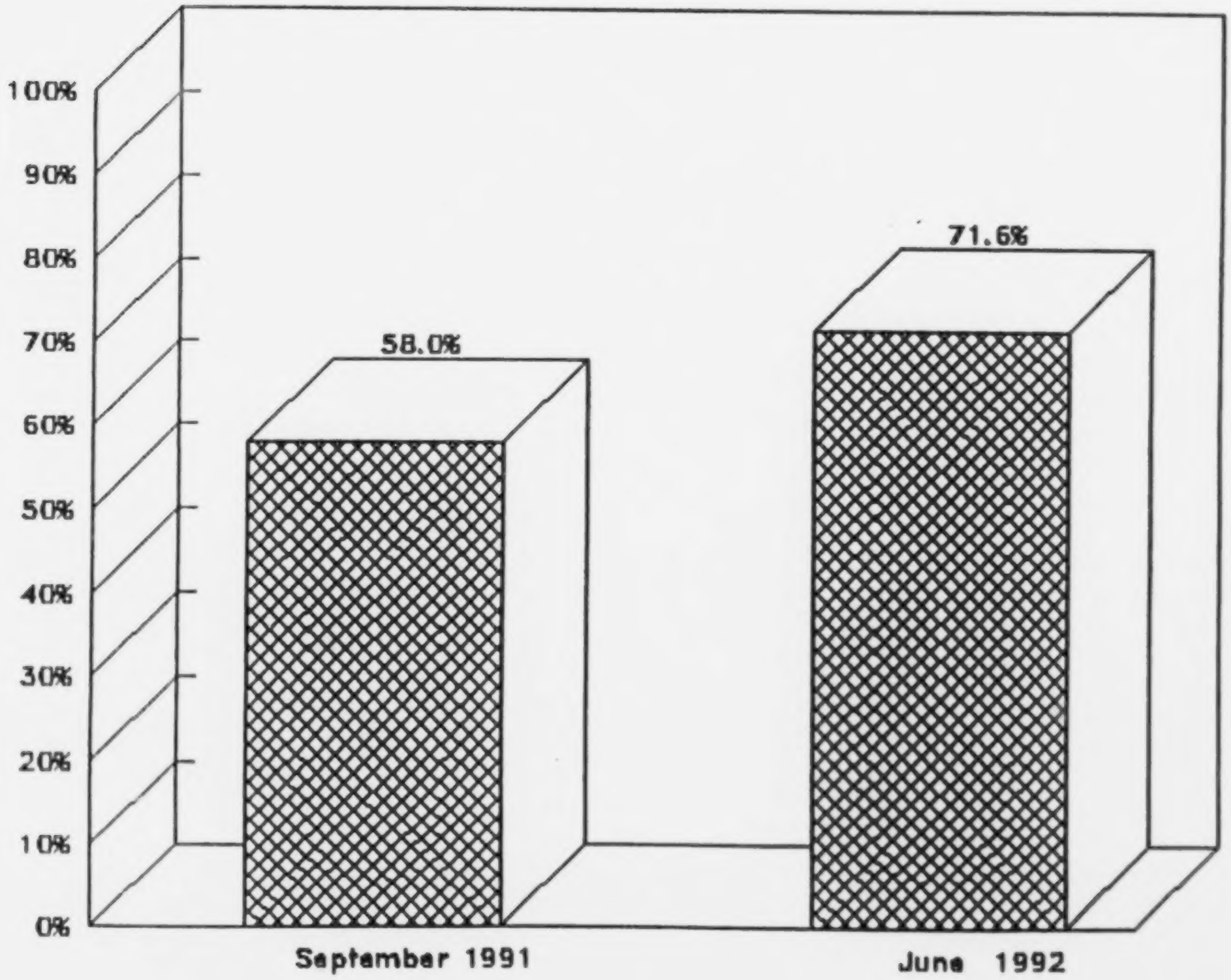
Service to the Patron has Improved



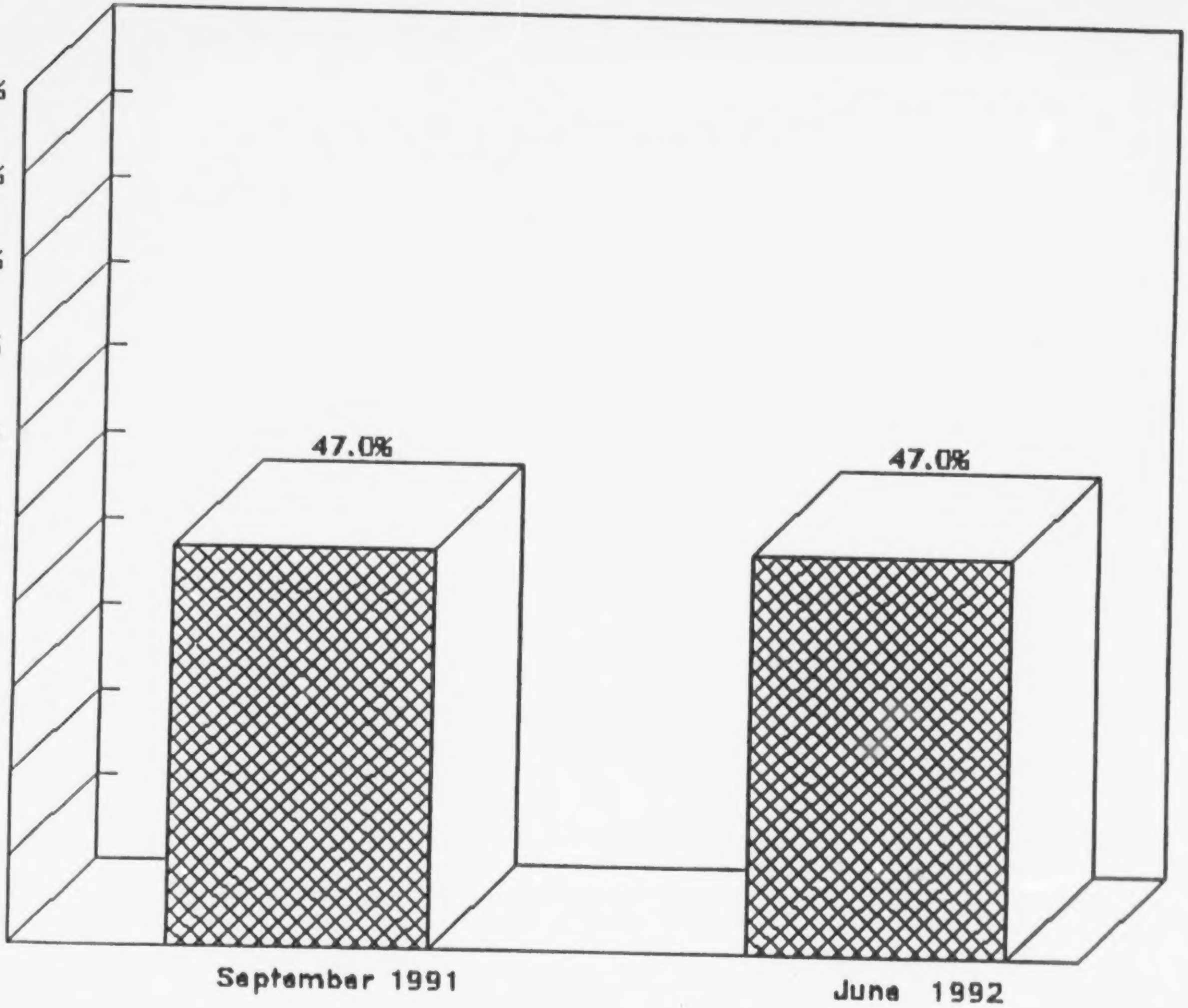
Understand the Mission of the Library



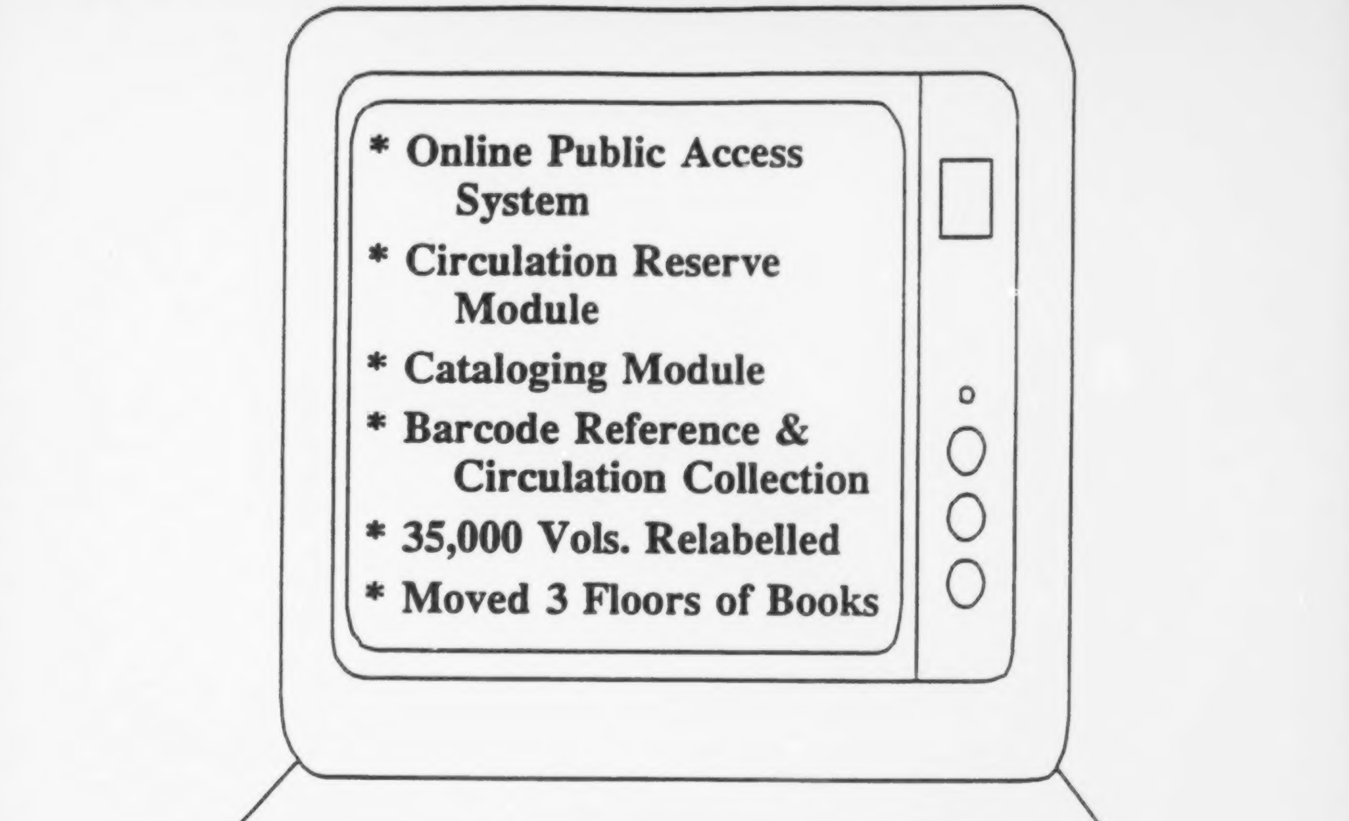
Library Morale has Improved



Same Problems, Just a New Face



Automation



* Online Public Access System
* Circulation Reserve Module
* Cataloging Module
* Barcode Reference & Circulation Collection
* 35,000 Vols. Relabelled
* Moved 3 Floors of Books

Samford's Davis Library Information Retrieval Service: A Boon to My Teaching and Scholarship

by

Janice Milner Lasseter, Chair, Department of English
Samford University

When our library announced its Information Retrieval Service, my response was: "What can the title mean–surely not what it says? They can't possibly be serious." I'm delighted to say they did mean it and that I have benefitted from it more times now than I can recall.

My first requests for information retrieval were for my own research. Because the people who perform the service were so prompt and accurate, I was able to get a paper submitted on time at a time in the semester when the instructional demands of my classes were so heavy, I simply couldn't get to the library for long enough periods of time to get certain resources my paper would require. When I took my list of articles, they not only found them for me, but they also photocopied them and even brought them to my office. You note that I said I took a list. Obviously I had failed to complete the easily-accessible and easily-complete-able forms they provide. Still they came through, even when I hadn't done my part. I believe it was for this particular article that I had merely marked a bibliography with the articles and books I wanted. Those not in our holdings were acquired for my use through inter-library loan. And I wasn't even involved in that process. They did it for me. Thus, my scholarship has sometimes been made possible and sometimes enhanced by their good work. Since I've become Chair of the English Department, my time is even more limited for research. What a boon this service has been in that area.

The service has also helped me in hurried times when I needed a particular book for class. On some occasions, I use an illustrated book or read from first editions. When I have needed books for class (for example, the Poe Log that allows me to read from one book the various accounts of Poe's death, funeral, and obituaries), I have sometimes called on this service the very morning I needed it and still got the book(s) in time. The service has saved me more time than I can calculate. It has meant also that I use the library more than I would otherwise, because I often don't have time to search for what I need.

I have been astonished with the efficiency and good cheer with which these people work. When I use the word "astonished," I'm not speaking in hyperbole. These folks seem actually to enjoy providing this service. Obviously, I have benefitted tremendously from our Davis Library's Information Retrieval Service. I could hardly ask for more from a library staff.

Possible Problems

Unit work load too heavy

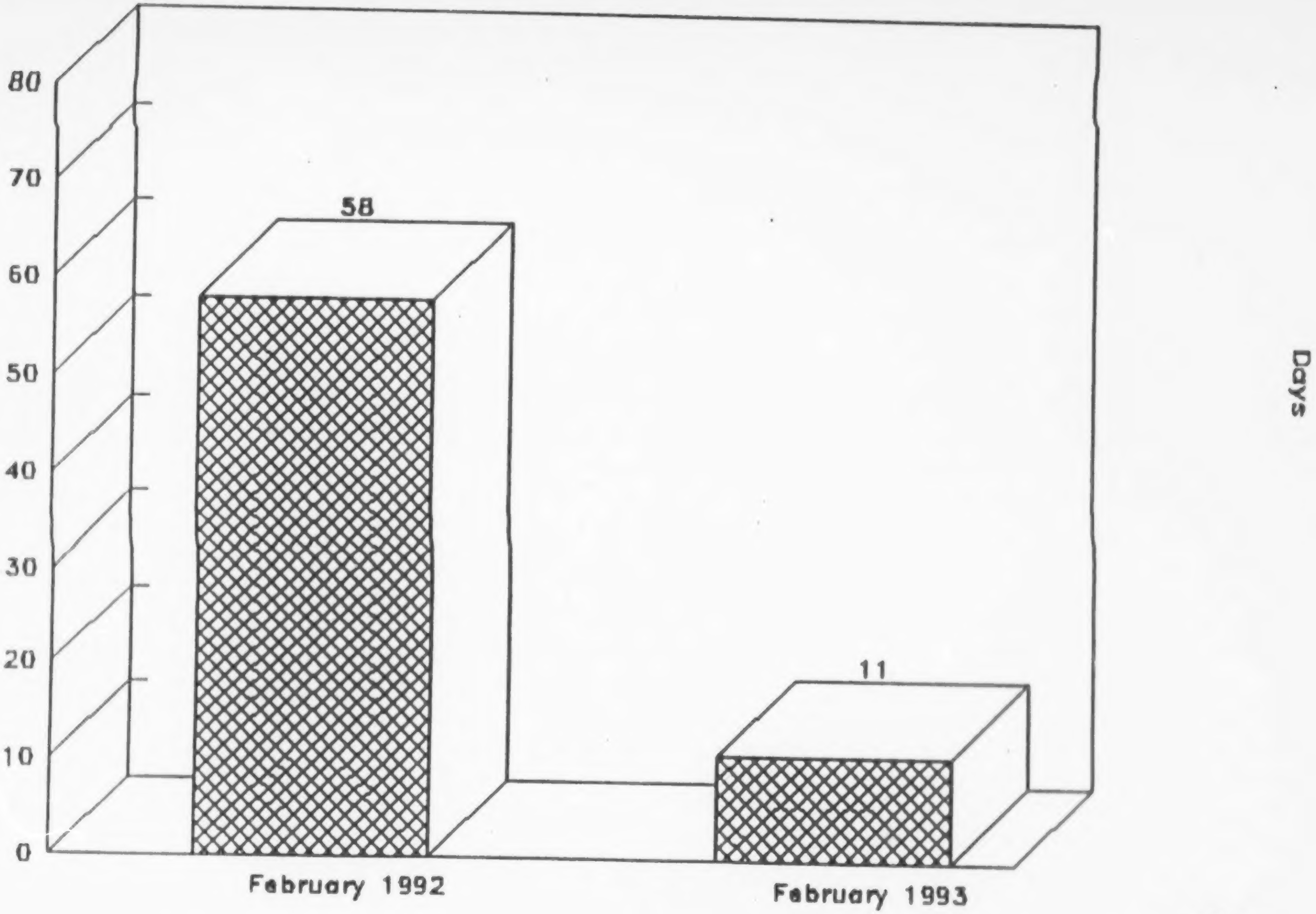
Delegation of work needed

Processes inefficient

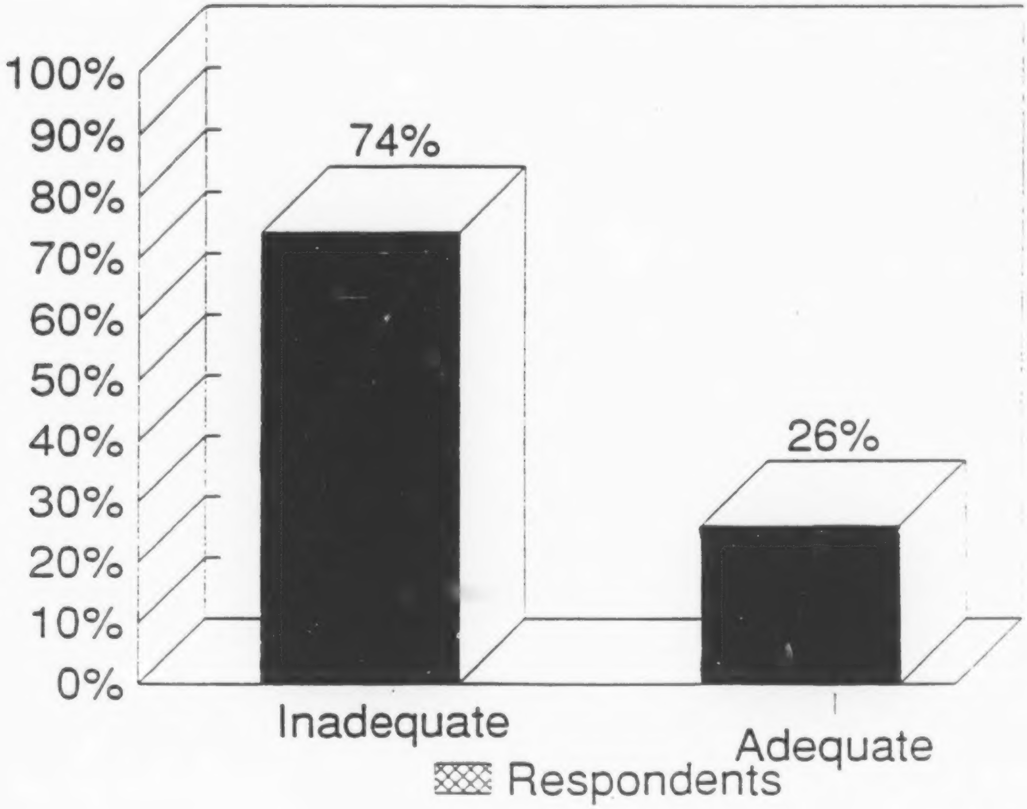
Lack of trust in unit

Empowerment of employees needed

Citations Ready To Order



Are current library hours adequate?



Gift Information
Davis Library
Samford University

The success of Samford University's Davis Library depends to a certain extent on the generosity of our patrons and benefactors. For that reason, we not only welcome your monetary or material gift but also recognize that gift as a considerable contribution to
our informational res
donation, whether in
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enhance the quality o
collections and will th
primary mission, to s
ricular and research
ford community. In a
contribution you may
we will affix to each f
item a bookplate with
acknowledgment.

Monetary Gifts

Davis Library is grate
who express their co
quality informational
financial support.

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to Samford University's Development Office; your check should indicate that it is "For Library Support."

Some donors who are in a position to demonstrate ongoing financial assistance find it more convenient to establish a long-term endowment. To obtain more information about creating an endowment, please contact the university's Development Office.

Material Gifts

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Gift Information

Davis Library

Samford University

The Undergraduate Team at the University of Arizona: Organized to Serve the Undergraduate Cluster

I. Background

- A. User Centered Reorganization of the Library
  - 1. Values of Customer Orientation
  - 2. All staff are public services staff
- B. Team Based Organization (Organizational Chart Overhead)

II. Composition of the Team (Including services the team provides and coordinates in overall statement)

- A. Real Staff Allocation
- B. Twenty Percent Makeup/Layers of Service

III. Team Commitment (Chart with data, overhead)

- A. Reference Services (type one and two)
- B. Bibliographic Instruction/Library Education
- C. Training of Staff
- D. Systems Instruction
- E. General Library Tours
- F. Needs Assessment/Evaluation

IV. Open Communication

- A. Communication Linkages and Mechanisms
  - 1. E-Mail (Info desk example)
  - 2. Integrative Services Group/Gang of Four
  - 3. All Team reporting to Dean's Cabinet
- B. Importance of Communication to Build Commitment/Integrate New Ideas Into Thinking

V. Staff Empowerment

- A. New Responsibilities Require Commitment to New Training
- B. Type Two Training Mission Team

VI. Feedback/Needs Assessment - A New Area

- A. Voice Mail Experience
- B. Staff on non-traditional service sites need training too

C. Established contacts with Academic Department Undergraduate Advisors

VII. First Year Experience - University Initiative and its relation to Undergraduate Services Team

VIII. Conclusion

A. We've Only Just Begun/Not yet a year old
B. Tight Budget Constraints
C. Need to learn more about benchmarking/user surveys/using data for decision making
D. Need to remember Library-wide priorities may take precedence over team desires/commitment to move forward/start new initiatives

1st International Conference on TQM and Academic Libraries
Sponsored by the Association of Research Libraries
Office of Management Services and the
Wayne State University Libraries
April 20-22, 1994
Washington, D.C.

TOTAL QUALITY MANAGEMENT IN HIGHER EDUCATION AND LIBRARIES: A SELECTIVE ANNOTATED BIBLIOGRAPHY

prepared by

Anaclare F. Evans
Technical Services
Wayne State University Libraries
aevans@waynest1.bitnet

Bogue, E. Grady and Robert L. Saunders. *Evidence for Quality: Strengthening the Tests of Academic and Administrative Effectiveness*. San Francisco, Calif.: Jossey-Bass, 1992.

The authors examine the traditional methods of measuring quality in higher education and how they relate to the public's demand for quality education and accountability. The authors consider traditional measures such as licensure, certification, accreditation, college rankings, and follow-up studies of graduates. The enumeration of this list and the various purposes for which data are collected prompts the questions what is being measured and for whom? The work presents a clear synthesis of the various arguments for the use of various measures as put forth by educators over the past decade.

Bonser, C. F. "Total Quality Education." *Public Administration Review* 52 (Sept.-Oct. 1992): 504-512.

Can higher education administrators meet the new challenges of the 1990s? Charles F. Bonser argues they can if they adopt the "total quality management" approach that has been so successful in other types of organizations. Using the principles of TQM outlined by Deming and others, Bonser discusses their potential application to the higher education environment.

Chaffee, Ellen Earle; Lawrence A. Sheer. *Quality: Transforming Postsecondary Education*, ASHE-ERIC Higher Education Report No. 3. Washington, DC: George Washington University, 1992.

Many colleges and universities, in responding to public demand for higher education and the external challenges it creates, are employing Total Quality Management (TQM) techniques to improve quality, increase productivity, and decrease costs. The quality improvement process itself (the tools for problem identification and developing solutions), largely ignored in the past by academic organizations, is now being studied and applied. The TQM process involves the complete transformation to a quality orientation and requires top-level commitment followed by substantial and comprehensive re-education of all personnel. In addition, the administration must develop a cooperative climate for change and recognize that the faculty play the most important role in developing the concept of continuous quality improvements and other TQM principles as they apply to academic activity. This report examines what quality is and what it requires, the technical system and tools for improving quality, and the type of administrative system required to allow the quality process to be successful. Finally the process of improving academic quality in the curriculum and classroom, as well as its assessment is discussed with emphasis on the student as the beneficiary. An appendix contains the Criteria for the 1992 Malcolm Baldrige National Quality Award. Contains ninety-three references and an index.

Chickering, Arthur W., David Potter. "TQM and Quality Education: Fast Food or Fitness Center?" *Educational Record* 74 (Spring 1993): 35-36.

Although the Total Quality Management approach in higher education institutions may focus greater attention on student needs, it also brings the risk of providing students with what they ask for rather than what they need to be well educated and prepared to enter a globally interdependent, complex workforce.

Coate, Edwin. "The Introduction of Total Quality Management at Oregon State University." *Higher Education* 25 (Apr. 1993): 303-320.

A discussion of the implementation of the Total Quality Management approach at Oregon State University over a number of years describes the planning process, steps and issues in implementation, specific results achieved, obstacles encountered, and lessons learned in the process.

Cornesky, Robert, and others. *Implementing Total Quality Management in Higher Education*. Madison, WI.: Magna Publications,1992. (ERIC NUMBER: ED343535)

This document offers administrators a concise approach to the various theories of total quality management (TQM) and the tools necessary to implement these theories at postsecondary educational institutions. The book is divided into four chapters. Chapter 1 introduces the principles of TQM by briefly: (1) reviewing the ideas of TQM leaders; and (2) discussing how their ideas might apply to institutions of higher education. Chapter 2 examines the common elements of the quality experts' ideas and suggests how they may be applied to institutions of higher education. Chapter 3 suggests an expeditious method to obtain a baseline from which to begin a total quality improvement program. The method uses a nationally recognized tool (from the Malcolm Baldrige Award) to evaluate an institution's quality index. The suggested method can be used to rate either an entire institution or a single department/unit. Finally, the fourth chapter examines the conditions necessary for establishing a total quality culture in colleges and universities. These are: (1) education and administrative commitment; (2) education and commitment of faculty and staff; (3) establishment of trust; (4) establishment of pride in workmanship; and (5) changes in the institutional culture. Contains 22 references and a 597-item bibliography.

Cornesky Robert, et. al. *W. Edwards Deming: Improving Quality in Colleges and Universities.* Madison, WI.: Magna Publications, 1990.

An outline of the Deming philosophy of quality improvement and several examples of the application of this philosophy to higher education. Each chapter illustrates one of Deming's Fourteen points.

Cowles, Deborah, Glenn Gilbreath. "Total Quality Management at Virginia Commonwealth University: An Urban University Struggles with the Realities of TQM." *Higher Education* 25 (Apr. 1993): 281-302.

Virginia Commonwealth University has implemented some pilot improvement programs using the Total Quality Management approach. These have included improvement of a personnel action processing form, creation of a campus computing service request tracking system, and development of an alumni program database. The pilot programs have taught lessons about the process of change.

Deming, W. Edwards. *Out of the Crisis.* Cambridge, Mass.: Productivity Press, 1982.

This is Deming's classic work upon which much of the total quality management movement is based. The "Fourteen Points" and the "Seven Deadly Diseases" are listed and explained. Required reading for anyone responsible for TQM programs and/or training. Some may find it necessary to read this title several times before getting the Deming message if this is the reader's introduction to the subject of TQM.

Elwell, Peter. "Feeling the Elephant: The Quest to Capture Quality." *Change* 24 (Sept./Oct. 1992): 44-47.

A critical review of E. Grady Bogue and Robert Saunders' book *Evidence for Quality.* Elwell suggests that the movement to measure and improve quality in higher education is a reaction to the public's demand that higher education become accountable for the quality of education delivered to graduates. It is Elwell's premise that universities can only improve quality by examining instructional processes.

Falk, Charles F. "(TQM)2 = The Quick Move to Total Quality Management: A "Window of Opportunity" for Continuing Educators." *Journal of Continuing Higher Education* 40 (Fall 1992): 13-22.

Research shows that academics are either disinterested or slow to react to total quality management, which many businesses consider vital to economic growth. Continuing educators may demonstrate leadership by advocating, developing, and furnishing credit or noncredit activities about quality improvement topics.

Fisher, James L. "TQM: A Warning for Higher Education." *Educational Record* 74 (Spring 1993): 15-19.

Although the Total Quality Management (TQM) system offers an admirable goal and offers promise of organizational improvement, the process it recommends is not a panacea and may only forestall the conflict inevitably arising from decision making, individual accountability, and organizational change. The approach is being abandoned by some.

Fitch, D. K., J. Thomason, E.C. Wells. "Turning the Library Upside-Down: Reorganization Using Total Quality Management Principles." *Journal of Academic Librarianship* 19 (Nov. 1992): 294-299.

Professional staff at Samford University's Davis Library began to plan for vast organizational changes in the summer of 1990. This article describes their application of TQM principles to preparing for and implementing a restructuring of the Library and discusses the results of this reorganization.

Godby, Galen. "Beyond TQM: competition and Cooperation Create the Agile Institution." *Educational Record* 74 (Spring 1993): 37-42.

The market environment for higher education is being shaped by developments in technology, business practices, partnerships between education and industry, and adoption of Total Quality Management principles. Shrewd college administrators will combine competitiveness and cooperation to maintain or enhance their institutions' distinctiveness in the current difficult market.

Harris, John W. and J. Mark Baggett, eds. *Quality Quest in the Academic Process.* Birmingham, Ala.: Samford University, 1992.

This volume contains seventeen articles on the emergence and potential of "Quality Improvement" (QI) efforts in higher education. Quality Improvement is defined as continuous improvement of processes in a cycle of plan (administration of instructional processes), do/check (assess), act (on the assessment and then continue to), plan-do-check-act. The papers are as follows: (1) "Customers: You Can't Do Without

Them" by Thomas E. Corts; (2) "Key Concepts of Quality Improvement for Higher Education" by John W. Harris; (3) "How Quality Improvement Teams Work to Improve Processes in Departments and Administrative Units" by Susan G. Hillenmeyer; (4) "Longitudinal Student Databases: A Critical Tool for Managing Quality in Higher education" by Peter T. Ewell; (5) "QI Tools for Planning Instruction, Developing Courses, and Administrative Processes" by Casey Collett; (6) "Quality Standards and Support Systems in Successful Publication of Scholarly Research: A Process Analysis" by Robert G. Batson; (7) "A Total Quality Management (TQM) Organizational Behavior Course" by Jose Eulogio Romero-Simpson; (8) "Demythologizing Quality Improvement for Faculty" by J. Mark Baggett; (9) "Total Quality Improvement in the Basic Sciences: A Retrospective Case Study" by Ronald N. Hunsinger: (10) "Statistical Thinking and Techniques: A General Education Requirement" by Mary H. Hudson; (11) "Reducing the Hassle for Faculty through QI" by Billy J. Strickland; (12) "Fear in the Classroom: Implications for Quality Improvement" by Janice R. Teal; (13) "Writing: A Process that Can Be Improved" by David H. Roberts; (14) "What Can QI Contribute to Teacher Education?" by Julian D. Prince; (15) "Quality Legal Education By Design: Institutionalizing the Process of Change in a Law School" by Alexander J. Bolla, Jr.; (16) "QI from a Health Professions School Perspective" by Lucinda L. Maine; and (17) "The Quality Quest in Academia" by William E. Hull. Most papers include references.

Jurow, Susan, and Susan B. Barnard, eds. "TQM Fundamentals." *Journal of Library Administration* 18 no. 1-2 (1993).

Discusses Total Quality Management (TQM), benefits to libraries, and possible barriers to its adoption. The thirteen articles in this issue discuss (1) library approaches to TQM; (2) implementing a TQM program; (3) supporting TQM efforts; and (4) learning from experience of others.

Mackey, Terry and Kitty Mackey. "Think Quality! The Deming Approach Does Work in Libraries." *Library Journal* 117 (May 14, 1992): 57-61.

Presents W. Edwards Deming's Total Quality Management method and advocates its adoption in libraries. The fourteen points that form the basis of Deming's philosophy are discussed in the context of the library setting. A flow chart of the reference process and user survey questions are included.

Mangan, Katherine S. "TQM: Colleges Embrace the Concept of 'Total Quality Management'." *Chronicle of Higher Education* 38 (Aug. 12, 1992): A25-26.

Application of Total Quality Management (TQM), which stresses total staff commitment to "customer" satisfaction, is reported at increasing numbers of colleges and universities. A survey of twenty-two institutions found employees felt better about their jobs, students were happier, and communication was improved. Expansion of TQM into the academic arena is reported to be controversial.

Marchese, Ted. "Getting a Handle on TQM." *Change* 24 (May/June 1992): 4.

Total quality management (TQM), which has been adopted by many American organizations in the past ten years, has sparked the interest of many participants in the higher education community. According to some academics, the values and aims of TQM are much the same as those of assessment. In addition, TQMs focus on key processes echoes the "Seven Principles of Good Practice in Undergraduate Education." The quality movement contains many humane values and useful insights, but it is not fully formed, and educators should draw upon their inventiveness and wit when making use of it.

Marchese, Ted. "TQM Reaches the Academy." *AAHE Bulletin* 44 (Nov. 1991): 3-9.

This introduction to the application of Total Quality Management (TQM) on college campuses first reviews the development and application of TQM principles in Japanese industries and recent implementation in industries and the Federal Government in the United States. Twelve principles of TQM are then identified: (1) a focus on quality; (2)customer-driven; (3) continuous improvement; (4) making processes work better; (5) extending the mindset; (6) the discipline of information; (7) elimination of rework; (8) teamwork; (9) empowerment of people; (10) training and recognition; (11) vision; and (12) leadership. Common objections to applying TQM principles in higher education are then identified and answered. These include: resistance to seeing students as customers; resistance to the technical language of TQM; inability to see relevance of a business approach to faculty and students; and dismissal of TQM as just good management or just another fad. It is noted that early collegiate adopters of TQM appear to be either prominent research universities or community colleges. Examples of implementation strategies at a variety of educational institutions are then offered.

Masters, Robert J. and Linda Leiker. "Total Quality Management in Higher Education." *CUPA Journal* 43 (Summer 1992): 27-31.

This article presents guidelines to aid administrators of institutions of higher education in applying the fourteen principles of Total Quality Management. The principles stress understanding process improvements, handling variation, fostering prediction, and using psychology to capitalize on human resources.

Pearson, C. M. "Aligning TQM and Organizational Learning." *Special Libraries* 84 (Summer 1993): 147-150.

This article addresses Total Quality Management (TQM) in the general frame of organizational learning, including the pitfalls that can hamper TQM's contribution to improving competitive advantage. To establish the issue of TQM more concretely, three topics will be explored: (1) why managers and executives currently find themselves faced with an array of "programs of the week," (2) the fit between one such program, TQM, and organizational learning, and (3) potential misuses inherent in TQM.

Reynolds, Gary L. "Total Quality Management for Campus Facilities." *Facilities Manager* 8 (Summer 1992): 14-20.

This article examines the total quality management (TQM) concept as it is applied to higher education campus facilities. Each of the fundamental principles of TQM are examined as follows: customer-centered orientation; leadership; improved communication; continuous improvement; accountability; and quality of life.

Riggs, Donald E. "Managing Academic Libraries with Fewer Resources." *Journal of Higher Education Management* 8 (Fall 1992): 27-34.

A discussion of academic library management during retrenchment looks at a variety of issues, including staffing needs in the labor-intensive library environment, acquisitions budgeting, interlibrary cooperation (ownership vs. access to resources), entrepreneurship and strategic planning for problem solving, and use of total quality management principles.

Riggs, Donald E. "Managing Quality: TQM in Libraries." *Library Administration & Management* 7 (Spring 1993): 73-78.

Discusses the use of total quality management (TQM) principles in libraries. Topics addressed include commitment from the library director; strategic planning; training needs for library staff; the identification and selection of targeted areas that would benefit from TQM; quality improvement teams; analysis; proposed solutions; and evaluation methods. (five references)

Riggs, Donald E. "TQM: Quality Improvement in New Clothes." *College and Research Libraries* 53 (Nov. 1992): 481-483.

Academic libraries, pursuing excellence in their products and services, are a natural entity for total quality management (TQM). Basic TQM principles include making decisions based on objective data, respecting people and their ideas, empowering all library staff, focusing on the process, and doing the job correctly the first time, all to benefit the library user. (three references)

St.Clair, G. "Benchmarking, Total Quality Management, and the Learning Organization: New Management Paradigms for the Information Environment." *Special Libraries* 84 (Summer 1993): 120-157.

Obtaining management involvement and devising accurate measurements of service are the two major challenges in the application of benchmarking, Total Quality Management, and the learning organization as management techniques in library and information services work. Both are accomplished through the effective use of the library manager's interpersonal skills in determining what it is that management expects from the library and information services unit and how the services provided meet the information needs of the organization.

Sears, D. J. "The Best Books on Total Quality Management: A 1st Review." *RQ* 33 (Fall 1993): 85-87.

As more of Florida's state agencies prepared to establish Total Quality Management (TQM) processes, the State Library of Florida was asked to locate a list of the "top 20" books on TQM. No rankings of books were located in published literature. Members of the Tallahassee Quality Council Government Committee were surveyed to determine the value of individual titles to the development of a Total Quality process within their organizations.

Seymour, Daniel T. *On Q: Causing Quality in Higher Education*. New York: American Council on Education/MacMillan Publishing Co., 1992.

Seymour examines what is meant by quality and how it can be achieved. He spends considerable time looking at who are the customers of higher education and what is needed to achieve customer satisfaction. Seymour compares and contrasts customer satisfaction in higher education with customer satisfaction in manufacturing and service industries.

Seymour, Daniel T. "TQM on Campus: What the Pioneers Are Finding." *AAHE Bulletin* 44 (Nov. 1991): 10-13.

This article reports survey findings from a comprehensive, critical assessment of quality management initiatives at twenty-two pioneering colleges and universities. The eighty-three respondents identified key benefits of Total Quality Management (TQM) and major frustrations and problems. Key benefits included: increased involvement of people; increased listening by staff to customers; increased efficiency; improved climate and attitudes; increased respect for data based decision making; breaking down of campus barriers; improved communication across institutional components; improved focus on institutional mission; reduced redundancies; and improved cost effectiveness. Frustrations and problems identified included: time requirements; unclear commitment by top leadership; aversion to change by some; difficulties in achieving a deep acceptance of

TQM philosophy; difficulties in establishing effective teams; and difficulties in identifying tangible results.

Shaughnessy, Thomas W. "Benchmarking, Total Quality Management, and Libraries." *Library Administration & Management* 7 (Winter 1993): 7-12.

Discussion of the use of Total Quality Management (TQM) in higher education and academic libraries focuses on the identification, collection, and use of reliable data. Methods for measuring quality, including benchmarking, are described; performance measures are considered; and benchmarking techniques are examined. (Eleven references)

Sherr, Lawrence A. and Deborah J. Teeter. *Total Quality Management in Higher Education*, New Directions for Institutional Research no. 71. San Francisco: Jossey-Bass, 1991.

Total Quality Management, based on theories of W. Edward Deming and others, is a style of management using continuous process improvement characterized by mission and customer focus, a systematic approach to operations, vigorous development of human resources, long-term thinking, and a commitment to ensuring quality. The values espoused by this approach match those of higher education. This volume also includes a number of case studies on the application of total quality management in higher education.

Sullivan, Maureen, and Jack A. Siggins. "Total Quality Management Initiatives in Higher Education." *Journal of Library Administration* 18 (1993): 157-169.

Examines trends affecting higher education such as declining enrollments, replacement of faculty, rising costs, competition for enrollments, corporate education, work changes, and greater accountability and relates them to Total Quality Management (TQM). Relevant organizations, the role of leadership, and barriers to greater acceptance are discussed. (Eight references.)

Teeter, Deborah J, G. Gregory Lozier, eds. *Pursuit of quality in higher education: case studies in total quality management*, New directions for institutional research, v. 78. San Francisco: Jossey-Bass, 1993.

Contents: G. Gregory Lozier. Six foundations of total quality management; Robert L. Carothers, Mary Lou Sevigny. Classism and quality; John W. Harris. Samford University's quality story; Hans A. Acherman, Liesbeth A.A.M. van Welie, Carla T.M. Laan. Building on external quality assessment to achieve continuous improvement; J. Keith Ord. Total quality management in the classroom: a personal odyssey; P.E. Sokol. Improvements in introductory physics courses; Marian K. Baur. Bringing a nursing program back to life; Jean Thomason. Revitalization of library service; Karen

Archambault Miselis. Realizing financial savings through total quality management; Susan K. Winck. Teamwork improves office climate; Carol R. Tyler. Total quality management is total at Fox Valley Technical College; Mary Ann Heverly, Jerome S. Parker. Hoshin planning applies total quality management to the planning process; William L. Eakin. The role of the facilitator on total quality management teams; May M. Sapp, M. Lewis Temares. Using focus groups to clarify customer needs; Sharon Koberna, Pam Walter. Using total quality management tools to improve organizational wellness; JoAnn M. Williams. Simplifying a process with flowcharts; Pam Walter. Documenting total quality management projects; Robert S. Winter. On your mark, get set, go!; Nancy Lee Howard. The role of the quality manager; Pam Walter. When is a problem not a problem?; Robert A. Yanckello, Thomas B. Flaherty. Total quality management in word and deed; Jeffrey D. Liebman. A quality initiative postponed; Valerie J. Broughton. Confluence between standard operating paradigms and total quality management; G. Gregory Lozier, Deborah H. Teeter. The challenge: overcoming the pitfalls.

"TQM: a time for ideas." *Change* 25 (May/June 1993): 10-40+.

A special section on Total Quality Management (TQM) in higher education. TQM is intended to transform the modern corporate enterprise by suggesting that organizations should be driven by the intrinsic motivation in all people to do their best work. TQM's arrival on campuses has brought a wave of interest and skepticism. More important than movement for or against TQM is the appropriateness of its ideas for higher education. Articles discuss six TQM concepts that can be applied to higher education; how TQM is being implemented at the Georgia Institute of Technology, Pennsylvania State University, the University of Maryland, and schools in Boston, Phoenix, and Madison, Wisconsin; TQM insights that can be gleaned from its use in industry; and the academic practice of TQM.

Williams, Gareth. "Total Quality Management in Higher Education: Panacea or Placebo?" *Higher Education* 25 (April 1993): 229-237.

It is argued that, despite the special character of higher education and its institutions, the principles of the Total Quality Management approach (continuous improvement, consistent quality, staff/student participation, meeting customer needs, coordination, management procedures that detect poor quality and encourage good quality) can contribute to efficient and effective higher education.

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